

Form **990-PF****Return of Private Foundation**
or Section 4947(a)(1) Trust Treated as Private Foundation

OMB No 1545-0047

Department of the Treasury
Internal Revenue Service

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

2019

Open to Public Inspection

For calendar year 2019 or tax year beginning , 2019, and ending , 20

Name of foundation THE BALL FOUNDATION		A Employer identification number 27-4099620
Number and street (or P.O. box number if mail is not delivered to street address)	Room/suite	B Telephone number (see instructions) 303-469-3131
P.O. BOX 9005 City or town, state or province, country, and ZIP or foreign postal code BROOMFIELD, CO 80021-0905		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 change		D 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 04 ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 6,217,541	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)				
	2 Check ☒ if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	265,152	265,152		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	(29,854)			
	b Gross sales price for all assets on line 6a 1,175,600				
	7 Capital gain net income (from Part IV, line 2)				
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less: Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)					
12 Total. Add lines 1 through 11	235,298	265,152			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)				
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)				
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	9,379	9,379		
	24 Total operating and administrative expenses. Add lines 13 through 23	9,379	9,379	0	0
	25 Contributions, gifts, grants paid	1,445,033			1,445,033
26 Total expenses and disbursements. Add lines 24 and 25	1,454,412	9,379	0	1,445,033	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	(1,219,114)				
b Net investment income (if negative, enter -0-)		255,773			
c Adjusted net income (if negative, enter -0-)			0		

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	363,475	106,731	106,731
	2 Savings and temporary cash investments	61,744	32,228	32,228
	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)			
	c Investments—corporate bonds (attach schedule)	7,292,680	6,087,227	6,078,582
	11 Investments—land, buildings, and equipment: basis ▶			
	Less: accumulated depreciation (attach schedule) ▶			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)			
	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)	7,717,899	6,226,186	6,217,541
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable	305,373	32,774	
	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)	305,373	32,774	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here ▶ ☐ and complete lines 24, 25, 29, and 30.			
	24 Net assets without donor restrictions			
	25 Net assets with donor restrictions			
	Foundations that do not follow FASB ASC 958, check here ▶ ☐ and complete lines 26 through 30.			
	26 Capital stock, trust principal, or current funds			
	27 Paid-in or capital surplus, or land, bldg., and equipment fund			
	28 Retained earnings, accumulated income, endowment, or other funds	7,412,526	6,193,412	
	29 Total net assets or fund balances (see instructions)	7,412,526	6,193,412	
	30 Total liabilities and net assets/fund balances (see instructions)	7,717,899	6,226,186	

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 29 (must agree with end-of-year figure reported on prior year's return)	1	7,412,526
2 Enter amount from Part I, line 27a	2	(1,219,114)
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3	4	6,193,412
5 Decreases not included in line 2 (itemize) ▶	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29	6	6,193,412

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (for example, real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co.)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	MORGAN STANLEY	P	04/27/16	4/25/19
b	UNITED TECHNOLOGIES CORP	P	04/04/12	02/19/19
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 1,023,200		1,032,850	(9,650)
b 152,400		172,604	(20,204)
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) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	(29,854)
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))
2018	1,406,201	7,991,531	.1760
2017	1,567,656	9,411,266	.1666
2016	1,082,544	10,067,748	.1075
2015	1,059,730	10,895,686	.0973
2014	1,526,114	11,763,765	.1297

2 Total of line 1, column (d)	2	.6771
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	.13542
4 Enter the net value of noncharitable-use assets for 2019 from Part X, line 5	4	6,786,556
5 Multiply line 4 by line 3	5	919,035
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,558
7 Add lines 5 and 6	7	921,593
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	1,445,033

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	2,558
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	0
3	Add lines 1 and 2	3	2,558
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	2,558
6	Credits/Payments:		
a	2019 estimated tax payments and 2018 overpayment credited to 2019	6a	0
b	Exempt foreign organizations—tax withheld at source	6b	0
c	Tax paid with application for extension of time to file (Form 8868)	6c	0
d	Backup withholding erroneously withheld	6d	0
7	Total credits and payments. Add lines 6a through 6d	7	0
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	2,558
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	0
11	Enter the amount of line 10 to be: Credited to 2020 estimated tax Refunded	11	0

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?		✓
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition If the answer is "Yes" to 1a or 1b , attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		✓
c Did the foundation file Form 1120-POL for this year?		✓
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? 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.		✓
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		✓
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? 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?	✓	
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	✓	
8a Enter the states to which the foundation reports or with which it is registered. See instructions. ▶ COLORADO		
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	✓	
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 2019 or the tax year beginning in 2019? See the instructions for Part XIV. If "Yes," complete Part XIV		✓
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		✓

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		✓
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		✓
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ N/A	✓	
14 The books are in care of ▶ BALL CORPORATION Telephone no. ▶ 303-469-3131 Located at ▶ 9200 WEST 108th CIRCLE, WESTMINSTER, CO ZIP+4 ▶ 80021		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—check here and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A		
16 At any time during calendar year 2019, 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 ▶		

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	
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 2019?	1c	✓
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 2019, did the foundation have any undistributed income (Part XIII, lines 6d and 6e) for tax year(s) beginning before 2019? ☐ Yes ☒ No If "Yes," list the years ▶ 20____, 20____, 20____, 20____		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.)	2b	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ 20____, 20____, 20____, 20____		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No		
b If "Yes," did it have excess business holdings in 2019 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 Form 4720, Schedule C, to determine if the foundation had excess business holdings in 2019.)	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	✓
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 2019?	4b	✓

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

5a	During the year, did the foundation pay or incur any amount to:		Yes	No
(1)	Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	☐ Yes ☒ No		
(2)	Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?	☐ Yes ☒ No		
(3)	Provide a grant to an individual for travel, study, or other similar purposes?	☐ Yes ☒ No		
(4)	Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions	☐ Yes ☒ No		
(5)	Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	☐ Yes ☒ No		
b	If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions		5b	
	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?		6b	✓
	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?		7b	
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
JOHN A. HAYES P.O. BOX 9005, BROOMFIELD, CO 80021-0905	PRESIDENT & DIRECTOR	0	0	0
SCOTT C. MORRISON P.O. BOX 9005, BROOMFIELD, CO 80021-0905	VICE PRESIDENT & DIRECTOR	0	0	0
JEFFREY A. KNOBEL P.O. BOX 9005, BROOMFIELD, CO 80021-0905	SEC/TREAS & DIRECTOR	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 **0**

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

0**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 ALL 2019 CHARITABLE ACTIVITIES WERE COMPRISED OF FINANCIAL CONTRIBUTIONS TO QUALIFYING CHARITIES (SEE PART XV 3A AND SCHEDULE 3).	1,445,033
2	
3	
4	

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

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

	Amount
1 N/A	
2	
All other program-related investments See instructions	
3	
Total. Add lines 1 through 3	0

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	6,380,161
b	Average of monthly cash balances	1b	509,744
c	Fair market value of all other assets (see instructions)	1c	
d	Total (add lines 1a, b, and c)	1d	6,889,905
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0
2	Acquisition indebtedness applicable to line 1 assets	2	0
3	Subtract line 2 from line 1d	3	6,889,905
4	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)	4	103,349
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	6,786,556
6	Minimum investment return. Enter 5% of line 5	6	339,328

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	339,328
2a	Tax on investment income for 2019 from Part VI, line 5	2a	2,558
b	Income tax for 2019. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	2,558
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	336,770
4	Recoveries of amounts treated as qualifying distributions	4	0
5	Add lines 3 and 4	5	336,770
6	Deduction from distributable amount (see instructions)	6	0
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	336,770

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26	1a	1,445,033
b	Program-related investments—total from Part IX-B	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8; and Part XIII, line 4	4	1,445,033
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	2,558
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,442,476

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
1 Distributable amount for 2019 from Part XI, line 7				336,770
2 Undistributed income, if any, as of the end of 2019:				
a Enter amount for 2018 only			0	
b Total for prior years: 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2019:				
a From 2014	937,926			
b From 2015	514,946			
c From 2016	526,201			
d From 2017	1,097,093			
e From 2018	1,009,575			
f Total of lines 3a through e	4,085,741			
4 Qualifying distributions for 2019 from Part XII, line 4: ► \$ 1,445,033				
a Applied to 2018, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions)		0		
c Treated as distributions out of corpus (Election required—see instructions)	0			
d Applied to 2019 distributable amount				336,770
e Remaining amount distributed out of corpus	1,108,263			
5 Excess distributions carryover applied to 2019 (If an amount appears in column (d), the same amount must be shown in column (a).)	0			
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	5,194,004			
b Prior years' undistributed income. Subtract line 4b from line 2b		0		
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		0		
d Subtract line 6c from line 6b. Taxable amount—see instructions		0		
e Undistributed income for 2018. Subtract line 4a from line 2a. Taxable amount—see instructions			0	
f Undistributed income for 2019. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020				0
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)	0			
8 Excess distributions carryover from 2014 not applied on line 5 or line 7 (see instructions)	937,926			
9 Excess distributions carryover to 2020. Subtract lines 7 and 8 from line 6a	4,256,078			
10 Analysis of line 9:				
a Excess from 2015	514,946			
b Excess from 2016	526,201			
c Excess from 2017	1,097,093			
d Excess from 2018	1,009,575			
e Excess from 2019	1,108,263			

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 N/A

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				(e) Total
	(a) 2019	(b) 2018	(c) 2017	(d) 2016	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					0
b 85% of line 2a	0	0	0	0	0
c Qualifying distributions from Part XII, line 4, for each year listed					0
d Amounts included in line 2c not used directly for active conduct of exempt activities					0
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c	0	0	0	0	0
3 Complete 3a, b, or c for the alternative test relied upon.					
a "Assets" alternative test—enter:					
(1) Value of all assets					0
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					0
b "Endowment" alternative test—enter $\frac{2}{3}$ of minimum investment return shown in Part X, line 6, for each year listed					0
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)					0
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					0
(3) Largest amount of support from an exempt organization					0
(4) Gross investment income					0

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).)

NONE

- 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.

NONE

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:

SEE STATEMENT 2

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

SEE STATEMENT 2

- c** Any submission deadlines:

SEE STATEMENT 2

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

SEE STATEMENT 2

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> SEE SCHEDULE 3				1,445,033
Total			▶ 3a	1,445,033
b <i>Approved for future payment</i> NONE				
Total			▶ 3b	0

Enter gross amounts unless otherwise indicated.

(See worksheet in line 13 instructions to verify calculations.)

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See instructions.)
---------------	---

[illegible]

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?

(1) Cash

(2) Other assets

(1) Sales of assets to a noncharitable exempt organization

(2) Purchases of assets from a noncharitable exempt organization

(3) Rental of facilities, equipment, or other assets

(4) Reimbursement arrangements

(5) Loans or loan guarantees

(6) Performance of services or membership or fundraising solicitations

c Sharing of facilities, equipment, mailing lists, other assets, or paid employees

d If the answer to any of the above is "Yes," complete the following schedule. Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received.

[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
N/A		

**Sign
Here**

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

Signature of officer or trustee

11/16/2020
Date

SECRETARY/TREASURER & DIR.
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

Preparer's signature

Date _____

Check ☐ if self-employed

PTIN

Firm's name ▶

Firm's EIN ▶

Firm's address ►

Phone no

The Ball Foundation
EIN 27-4099620
Form 990-PF
For Calendar Year 2019

Statement 1 - Other Expenses

Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Bank Fees	1,844	1,844	0	0
Web Fees	7,439	7,439	0	0
Other Administrative Cost	96	96	0	0
To Form 990-PF, Page 1, Line 23	9,379	9,379	0	0

Statement 2 - Corporate Bonds

	(a) BOY Book Value	(b) EOY Book Value	(c) EOY Fair Market Value
United Technologies Corp	1,150,690	978,087	856,392
GAP Inc.	947,500	947,500	1,037,850
PNC FDG Corp	999,210	999,210	1,027,410
Newmont Mining Corp	1,037,500	1,037,500	1,026,470
Oracle Corp	1,017,530	1,017,530	1,018,550
Morgan Stanley	1,032,850	0	0
Verizon Communications	1,107,400	1,107,400	1,111,910
To Form 990-PF, Part II, Line 10 C	7,292,680	6,087,227	6,078,582

Statement 3 - Grant Application Submission Information, Part XV, Lines 2a through 2d

Name and Address of Person to Whom Applications Should be Submitted

Applications are accepted online only via
[HTTPS://www.ball.com/ball-foundation/](https://www.ball.com/ball-foundation/)

Form and Content of Application

Applications are accepted online only via
[HTTPS://www.ball.com/ball-foundation/](https://www.ball.com/ball-foundation/)

See Schedule 1 - "Information Requested In The Ball Foundation Grant Application"

Submission Deadlines

None

Restrictions and Limitations on Awards

See Schedule 2 - "Ball Foundation - Grants Guidelines"

Information Requested in the Ball Foundation Grant Application

The Ball Foundation will only be accepting grant application online beginning in 2012. A link to our grant application site will be available on ball.com. Organizations interested in applying will have to pass an eligibility quiz before they can create an account and fill out full the online application.

Online Organization Eligibility Quiz			
1	Is your organization a Section 501(c)(3) tax-exempt organization that is classified as a public charity under Section 509(a)(1), (2) or (3)?	Yes	Go To Question 2
		No	Go To Question 1a
1A	Is your organization a tax-exempt public agency classified under Section 170(c)(1)?	Yes	Go To Question 2
		No	Not Permitted Further / Notify at the end
2	Is your organization located in/serve the United States?	Yes	Go to question 3
		No	Not permitted further/notify at end
3	Are you seeking funding for lobbying, political or fraternal activities?	Yes	Not permitted further/notify at end
		No	Go to question 4
4	Are you seeking funding for an individual?	Yes	Not Permitted Further / Notify at the end
		No	Go to question 5
5	Are you seeking funding to support travel?	Yes	Not permitted further/notify at end
		No	Go to Question 6
6	Are you seeking funding for medical research?	Yes	Not permitted further/notify at end
		No	Go to question 7
7	Are you seeking funding for programs targeting people with specific physical, medical or psychological conditions?	Yes	Not permitted further/notify at end
		No	Go to question 8
8	Is your organization a religious organization?	Yes	Go To Question 8a
		No	Go To Question 9
8A	If yes, are you seeking funds for training in or promotion of religious doctrine?	Yes	Not Permitted Further / Notify at the end
		No	Go To Question 9
9	If funded, will this grant remain under the financial control of the applying organization and not be regranted in any way to other charitable organizations?	Yes	Go To Question 10
		No	Not Permitted Further / Notify at the end
10	The Ball Foundation grants program serves the Colorado front range and other communities in which our employees live and work. Does your organization serve one or more of these locations?	Yes	Go To Question 11
		No	Not Permitted Further / Notify at the end

11	The Ball Foundation focus areas are education, recycling and community engagement. Does your organization emphasize one of these focus areas?	Yes	Go To Question 12
		No	Not Permitted Further / Notify at the end
12	Is this organization in full compliance with Ball Corporation non-discrimination policy?	Yes	Go to Message A
		No	Go to Message B
Message A	Thank you for completing this eligibility assessment. Based on your answers, it appears that your organization qualifies to complete the Ball Foundation Grant Application. Please click below to register.		Go to Registration
Message B	Thank you for your interest in funding support from the Ball Foundation. Since your organization does not meet our funding criteria, we regret that we will not be able to assist you at this time. We wish you much success in your fundraising endeavors.		Go to Homepage

The full grant application asks for the following information:

Organization Background Information

- Organization's Mission Statement
- Brief overview of the organization and evidence of its impact
- List/description of the organization's major achievements
- Type of organization
- Organization's Board of Directors, key staff, and their qualifications
- List of other major donors and funding contributions
- Non-Discrimination Policy, if it has one

Project Request Information

- Project title
- Request/Support Type (Project Support, Operating Budget, Capital Campaign, Other (describe))
- Requested amount
- Project budget

- Detailed project budget including a description of how the funds will be spent and how the amount was determined
- Project start date
- Project end date
- Nature of request
- Project background
- Other funding contributions
- Evaluation of project
- List non-company name donors and supporters and amounts contributed to project

Project Details

- List and description of the current project objectives
- Problem the project addresses
- How the project objectives be met (strategies and outcomes)
- Description of the use of staff (including volunteers) and their qualifications
- Project implementation timeline and key milestones
- Why this project should be funded and the basis for optimism that this project can address the problem successfully
- Analysis of the project's risks and limitations, including how these factors will be addressed or minimized
- Brief history of the project
- Organization's or program's website
- Description of how the project fits within the guidelines of The Ball Foundation

Documentation

- Total annual organizational operating budget
- Operating Budget File
- Organization's IRS 501(c)(3) or 509(a)(1),(2),(3) tax designation
- Organization's 990 or 990-PF federal tax return
- Organization's current audited financial statement

Implementation and Evaluation

- If previously funded by Ball Corporation or The Ball Foundation please provide a brief report on the results of the grant (i.e., amount of funding, what was accomplished, challenges encountered, and corrective actions taken)
- Additional information organization deems vital to review of the grant application
- Description of the project deliverables and outcomes
- Explanation of the assessment strategies that will be used to define and measure the program's success
- Description of the involvement of stakeholders (e.g. Board, Target Population, Community Members)
- Sustainability plan - what steps will the organization take to ensure the future success of the proposed project beyond completion of Ball Foundation funding (i.e. future financial support, staff requirements, continued community interest)?

Grant Classifications

- Motivation (Ball assigns): Charity, Strategic, Commercial
- Program Type: Education (Higher, K-12, STEM and/or Diversity), Recycling, Social Services, Food Security, Disaster Relief, Other
- Budget Source (Ball assigns): Corporate, Foundation, Other
- Ethnicity Served (optional): All, African American, Hispanic, Minorities in General, Native American, Pacific Asian and Asian Indian/Middle Eastern
- Gender Served (optional): All, Female, Male
- Geography: Enter location
- Target Age: All, Infant, Children, Adolescence, Young Adult, Adult, Elderly

The Ball Foundation – Grants Guidelines

Mission

The Ball Foundation's mission is to provide financial support to not-for-profit organizations that sustain the communities in which we live and operate by improving and promoting education, recycling and community engagement.

The Ball Foundation's Grants program provides grants to certain eligible, charitable organizations that meet the Foundation's guidelines and are located in the U.S. The Ball Foundation focuses its grant making investments in organizations with measurable plans to improve communities where our associates live and work. To be considered for a grant, applicants must be tax-exempt, nonprofit organizations as defined under section 501(c)(3) of the Internal Revenue Code, or an accredited public or private school or university.

Funding Focus Areas:

Education: We believe education is vital to social and economic development because it gives people in our communities the knowledge and skills they need to achieve employment and economic security in our rapidly changing, global economy. To help keep our communities and our business competitive and prosperous, we support formal educational opportunities for K-12 education, higher education, business-education partnerships, and other local needs. The Foundation focuses its education funding on programs that support science, technology, engineering and math (STEM) education; emphasize the benefits of recycling to protect the environment; and support diversity by providing opportunities for educational achievement and diverse thought regardless of racial and ethnic background, gender or economic status.

Recycling: Recycling is critical to the future of our business, society and planet. Its benefits include saving significant amounts of energy and natural resources. The Foundation supports programs that increase packaging recycling rates, improve collection processes and provide education about the benefits of recycling.

Community Engagement: An important part of the cultural values of Ball Corporation and the Ball Foundation is to be a good neighbor, corporate citizen and employer of choice in communities where we have a presence; a healthy business depends upon thriving communities. The needs in our communities are many. As a packaging and aerospace company, we support organizations, programs and civic initiatives that advance sustainable livelihoods for the citizens of our communities by improving self-sufficiency in times of need, primarily through food security and disaster relief initiatives.

What We Do Not Fund

The Ball Foundation does not support organizations that discriminate against a person or a group on the basis of age, political affiliation, race, national origin, ethnicity, gender, disability, sexual orientation or religious belief.

In order to maintain its focus and achieve a greater impact through the use of its funds, Ball will also generally not support:

- Individuals
- Religious groups for religious purposes
- Programs targeted for people with specific physical, medical or psychological conditions
- Medical research
- Production of audio, film or video
- Requests to support travel
- Lobbying, political or fraternal activities
- Organizations not exempt under Section 501(c)(3) of the IRS code or unaccredited public/private schools
- Programs or organizations for which the Ball Foundation is asked to serve as the sole funding source

We reserve the right to deny funding to organizations at any time.

How to Apply

Interested organizations must apply online. Click the grant application website to create an account or log in and begin the application process. The first step is a mandatory eligibility review. Organizations that meet the Foundation's eligibility requirements will be permitted to register and complete the Foundation's grant application.

Response

The Ball Foundation board of directors meets twice a year to evaluate funding requests, and to review current programs and overall strategy. Generally organizations can expect a response 6-8 weeks following the application deadline.

Requirements and Limitations

All requests for grants and/or charitable funding in the U.S. must be made through the Ball Foundation and should not be directed to Ball Corporation or any of its operating units, including Ball Aerospace.

All agencies or organizations whose applications are approved by the Foundation's board of directors must sign a letter of agreement regarding the terms of the respective grant.

Agencies or organizations that receive Ball Foundation funds will be required to complete follow-up reporting so that the Foundation can evaluate program impact and benefits as well as ensure proper use of Foundation funds.

Organizations that have been denied funding by the Foundation must wait one year before being eligible to reapply for funding.

Organizations that are currently funded by the Foundation that wish to apply for additional funding for a new or different program must submit a separate application for each program.

Organizations that are currently being funded may apply for continuation of the program being funded (if applicable), but must follow all procedures implemented by the Foundation during the course of the program to be eligible to receive continuation funding.

Generally, a particular program or organization will not be funded for more than three consecutive years. After that time the organization must wait 12 months before reapplying.

2019 Form 990-PF
Part XV, 3a
The Ball Foundation 27-4099620

Schedule 3

Recipient Name and Address	If recipients is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
University of Colorado Foundation 1800 Grant St. Suite 725 Denver, CO 80203		PC	General Purpose	\$ 104,000.00
Denver Museum of Nature and Science 2001 Colorado Blvd. Denver, CO 80205		PC	General Purpose	\$ 80,000.00
The Recycling Partnership 125 Rowell Ct Falls Church, VA 22046		PC	General Purpose	\$ 185,000 00
CAN'd AID Foundation 1800 Pike Rd. Longmont, CO 80501		PC	General Purpose	\$ 200,000.00
Denver Scholarship Foundation 789 Sherman St Suite 610 Denver, CO 80203		PC	General Purpose	\$ 75,000.00
Children's Museum of Denver 2121 Children's Museum Drive Denver, CO 80221		PC	General Purpose	\$ 32,176.00
Colorado Robotics Excelling At Science & Technology 3773 Cherry Creek North Dr Denver, CO 80209		PC	General Purpose	\$ 25,000.00
Mile High United Way 711 Park Ave West Denver, CO 80205		PC	General Purpose	\$ 25,000.00
Colorado Succeeds 1390 Lawrence St., Suite 200 Denver, CO 80204		PC	General Purpose	\$ 40,000.00
Green Up Our Schools 921 Walnut Street Boulder, CO 80302		PC	General Purpose	\$ 20,000.00
Surfrider Foundation P.O. Box 73550 San Clemente, CA 92673		PC	General Purpose	\$ 50,000.00
River Network P.O. Box 21387 Boulder, CO 80308		PC	General Purpose	\$ 50,000 00
Front Range Community College 3645 W. 112th Ave. Westminster, CO 80031		PC	General Purpose	\$ 50,000 00
Latin American Education Foundation 561 Santa Fe Drive Denver, CO 80204		PC	General Purpose	\$ 10,000.00

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Schedule 3

Recipient Name and Address	If recipients is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Community Food Share 650 S Taylor Ave Louisville, CO 80027		PC	General Purpose	\$ 15,781.00
Montgomery County Food Bank 1 Food for Life Way Conroe, TX 77385		PC	General Purpose	\$ 8,660.00
Food Bank Contra Costa and Solano 2339 Courage Dr. Fairfield, CA 94533		PC	General Purpose	\$ 1,840.00
Chopin Hall 1800 N. Blanchard St. Findlay, OH 45840		PC	General Purpose	\$ 22,080.50
City Mission 510 West Main Cross Street Findlay, OH 45840		PC	General Purpose	\$ 22,080.50
Fort Atkinson Food Pantry P.O. Box 275 Ft. Atkinson, WI 53538		PC	General Purpose	\$ 17,246.00
Community Food Bank 3000 Galvez Ave Ft. Worth, TX 76111		PC	General Purpose	\$ 1,752.00
Arvada Community Food Bank 8555 W 57th Ave. Arvada, CO 80002		PC	General Purpose	\$ 4,458.00
Hawaii Food Bank 2611 Kilihau St. Honolulu, HI 96819		PC	General Purpose	\$ 4,217.00
Food Finders Food Bank Inc. 50 Olympia Court Lafayette, IN 47909		PC	General Purpose	\$ 2,266.00
Action Ministries Rome PO Box 107 1 Rome, GA 30162		PC	General Purpose	\$ 67,053.00
Saratoga County Economic Development Opportunity Council 39 Bath St Ballston Spa, NY 12020		PC	General Purpose	\$ 4,081.00
Metropolitan Ministries Inc 2002 N. Florida Ave Tampa, FL 33602		PC	General Purpose	\$ 2,756.00
Food Bank of the Hudson Valley 195 Hudson St Cornwall-on-Hudson, NY 12520		PC	General Purpose	\$ 2,530.00
Feed the Need in Durham 371 Marwood DR Unit A Oshawa, Ontario L1H 7P8		PC	General Purpose	\$ 2,311.00

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Schedule 3

Recipient Name and Address	If recipients is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Grove Christian Outreach Center 8800 Pocahontas Trail Williamsburg, VA 23185		PC	General Purpose	\$ 11,313.00
Northwest Harvest 22220 68th Ave S Kent, WA 98032		PC	General Purpose	\$ 1,159.00
St. Mary's Food Bank Alliance 2831 N 31st Ave Phoenix, AZ 85009		PC	General Purpose	\$ 491.00
St. Mary's Food Bank Alliance 2831 N. 31st Ave Phoenix, AZ 85009		PC	General Purpose	\$ 1,690.00
Second Harvest Heartland Food Bank 1140 Gervais Ave St. Paul, MN 55109		PC	General Purpose	\$ 4,061.00
American Red Cross PO Box 37864 Boone, IA 50037-0864		PC	General Purpose	\$ 212,000.00
A Precious Child 557 Burbank St., Unit E Broomfield, CO 80020		PC	General Purpose	\$ 20,000 00
I Have A Dream Foundation 5390 Manhattan Circle #200 Boulder, CO 80303		PC	General Purpose	\$ 10,000 00
Girls, Inc. 1499 Julian Street Denver, CO 80204		PC	General Purpose	\$ 20,000.00
Colorado Association of Black Professional Engineers and Scientists P.O. Box 200508 Denver, CO 80220-0508		PC	General Purpose	\$ 15,000 00
Eco-Cycle PO Box 19006 Boulder, CO 80308		PC	General Purpose	\$ 18,000 00
American Red Cross PO Box 37864 Boone, IA 50037-0864		PC	General Purpose	\$ 1,208.35
Blue Ridge Area Food Bank P O Box 937 96 Laurel Hill Rd. Verona, VA 244482		PC	General Purpose	\$4,823.00
				\$ 1,445,033.35