

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 for instructions and the latest information.

2019

Open to Public Inspection 1912

For calendar year 2019 or tax year beginning

, and ending

Name of foundation THE AUEN FOUNDATION		A Employer identification number 95-4325051			
		B Telephone number (see instructions) (760) 341-5293			
Number and street (or P O box number if mail is not delivered to street address) P O BOX 13390		Room/suite			
City or town, state or province, country, and ZIP or foreign postal code PALM DESERT CA 92255-3390					
Foreign country name	Foreign province/state/county	Foreign postal code			
G 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			
H Check type of organization:		<input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation 04 <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation			
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ► \$ 33,672,701	J Accounting method:		<input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input checked="" type="checkbox"/> Other (specify) MODIFIED CASH (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)				
	2 Check ► <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	2,292	2,292		
	4 Dividends and interest from securities	1,505,995	1,505,995		
	5a Gross rents				
	b Net rental income or (loss) 8A				
	6a Net gain or (loss) from sale of assets not on line 10	-186,676			
	b Gross sales price for all assets on line 6a 11,761,069				
	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) SEE SCH (1)	241,195	297,227			
12 Total. Add lines 1 through 11	1,562,806	1,805,514			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.	214,214	RECEIVED	214,214	
	14 Other employee salaries and wages	175,917		175,917	
	15 Pension plans, employee benefits	128,872		128,872	
	16a Legal fees (attach schedule) SEE SCH (2)	3,063			
	b Accounting fees (attach schedule) SEE SCH (3)	8,035			
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions) SEE SCH (4)	76,171	44,670		
	19 Depreciation (attach schedule) and depletion SEE SCH (5)	7,547			
	20 Occupancy	12,000	1,200	10,800	
	21 Travel, conferences, and meetings	2,267		2,267	
	22 Printing and publications				
	23 Other expenses (attach schedule) SEE SCH (6)	8,959	1,747	7,212	
	24 Total operating and administrative expenses.	637,045	47,617	550,380	
Add lines 13 through 23	1,057,500		1,057,500		
25 Contributions, gifts, grants paid SEE SCH (13)	1,694,545	47,617	1,607,880		
26 Total expenses and disbursements. Add lines 24 and 25					
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-131,739				
b Net investment income (if negative, enter -0-)		1,757,897			
c Adjusted net income (if negative, enter -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			
	2	Savings and temporary cash investments	963,373	1,135,938	1,135,938
	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 ►	63,966		
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U.S. and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	2,937,782	4,281,716	4,275,368
	c	Investments—corporate bonds (attach schedule)	19,584,004	16,578,910	16,897,742
Liabilities	11	Investments—land, buildings, and equipment basis ►	5,555,000		
		Less: accumulated depreciation (attach schedule) ►	5,555,000	5,555,000	2,730,000
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ►	150,536		
		Less: accumulated depreciation (attach schedule) ►	72,463	131,444	78,073
	15	Other assets (describe ► See Attached Statement))		5,411,377	6,840,396
	16	Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	34,646,946	34,470,033	33,672,701
	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ► Due to related entities))	52,902	34,549	
	23	Total liabilities (add lines 17 through 22)	52,902	34,549	
Net Assets or Fund Balances		Foundations that follow FASB ASC 958, check here ► <input checked="" type="checkbox"/> and complete lines 24, 25, 29, and 30.			
	24	Net assets without donor restrictions	34,594,044	34,435,484	
	25	Net assets with donor restrictions			
		Foundations that do not follow FASB ASC 958, check here ► <input type="checkbox"/> 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			
	29	Total net assets or fund balances (see instructions)	34,594,044	34,435,484	
	30	Total liabilities and net assets/fund balances (see instructions)	34,646,946	34,470,033	

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	34,594,044
2	Enter amount from Part I, line 27a	2	-131,739
3	Other increases not included in line 2 (itemize) ►	3	
4	Add lines 1, 2, and 3	4	34,462,305
5	Decreases not included in line 2 (itemize) ► SEE SCH. (11)	5	26,821
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29	6	34,435,484

Part IV Capital Gains and Losses for Tax on Investment Income

a) List and describe the kind(s) of property sold (for example, real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co.)			(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a See Sch (12)			P	Various	Various
b					
c					
d					
e					
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))		
a 11,761,069		11,947,745	-186,676		
b					
c					
d					
e					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(I) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))		
(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			
a			-186,676		
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	-186,676	
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c). See instructions If (loss), enter -0- in Part I, line 8	{ }		3		

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? Yes No
If "Yes," the foundation doesn't qualify under section 4940(e). Do not complete this part

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2018	1,572,559	32,132,502	0.048940
2017	1,621,572	32,284,333	0.050228
2016	1,711,104	33,547,233	0.051006
2015	1,817,371	35,232,306	0.051583
2014	879,075	36,603,136	0.024016

- 2 Total of line 1, column (d) 2 0.225773
- 3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 50, or by the number of years the foundation has been in existence if less than 5 years 3 0.045155
- 4 Enter the net value of noncharitable-use assets for 2019 from Part X, line 5 4 32,382,256
- 5 Multiply line 4 by line 3 5 1,462,221
- 6 Enter 1% of net investment income (1% of Part I, line 27b) 6 17,579
- 7 Add lines 5 and 6 7 1,479,800
- 8 Enter qualifying distributions from Part XII, line 4 8 1,607,880

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)

1a	Exempt operating foundations described in section 4940(d)(2), check here ► <input type="checkbox"/> and enter "N/A" on line 1.	3	1	17,579
	Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)			
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ► <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b			
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	17,579
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-)		4	
5	Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-		5	17,579
6	Credits/Payments			
a	2019 estimated tax payments and 2018 overpayment credited to 2019	6a		41,164
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		41,164
8	Enter any penalty for underpayment of estimated tax Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8		
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		23,585
11	Enter the amount of line 10 to be Credited to 2020 estimated tax ► 23,585 Refunded ►	11		

Part VII-A Statements Regarding Activities

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? **1a** Yes No

1b 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. **1b** Yes No

1c Did the foundation file Form 1120-POL for this year? **1c** Yes No

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. **2** Yes No

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. **3** Yes No

4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? **4a** Yes No

4b If "Yes," has it filed a tax return on Form 990-T for this year? **4b** Yes No

5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by *General Instruction T*. **5** Yes No

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? **6** Yes No

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. **7** Yes No

8a Enter the states to which the foundation reports or with which it is registered See instructions ► AL, CA **8a** Yes No

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 *General Instruction G*? If "No," attach explanation. **8b** Yes No

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. **9** Yes No

10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses. **10** Yes No

Part VII-A Statements Regarding Activities (continued)

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	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
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	<input type="checkbox"/> 11	<input checked="" type="checkbox"/> X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	<input type="checkbox"/> 12	<input checked="" type="checkbox"/> X
14	The books are in care of ► Joseph Glassett Located at ► 75-200 Classic Club Blvd, 2nd Floor, Palm Desert, CA USA	Telephone no ► (760) 341-5293 ZIP+4 ► 92211	
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—check here and enter the amount of tax-exempt interest received or accrued during the year ► 15	<input checked="" type="checkbox"/> 15	<input type="checkbox"/>
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 ►	<input type="checkbox"/> 16	<input checked="" type="checkbox"/> 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.

1a	During the year, did the foundation (either directly or indirectly)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions. Organizations relying on a current notice regarding disaster assistance, check here ►	<input type="checkbox"/> 1b	<input checked="" type="checkbox"/> X
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2019?	<input type="checkbox"/> 1c	<input checked="" type="checkbox"/> 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 2019, did the foundation have any undistributed income (Part XIII, lines 6d and 6e) for tax year(s) beginning before 2019?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	If "Yes," list the years ► 20____, 20____, 20____, 20____		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions)	<input type="checkbox"/> 2b	<input checked="" type="checkbox"/> N/A
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ► 20____, 20____, 20____, 20____		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b	If "Yes," did it have excess business holdings in 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)	<input type="checkbox"/> 3b	<input checked="" type="checkbox"/> N/A
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	<input type="checkbox"/> 4a	<input checked="" type="checkbox"/> 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 2019?	<input type="checkbox"/> 4b	<input checked="" type="checkbox"/> X

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (if not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
RONALD M. AUEN (Deceased in 2019) PO BOX 13390 PALM DESERT, CA 92255-3390	Ex-Trustee 1 HOUR			
SHERRIE AUEN (Successor per Trust Agreement) PO BOX 13390 PALM DESERT, CA 92255-3390	Trustee 40.00	214,214	23,803	NONE

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
CATHARINE REED PO BOX 13390, PALM DESERT, CA 92255-3390	Asst. Dir.-Programs 30+ Hours	149,940	16,385	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 ► **NONE**
Part IX-A Summary of Direct Charitable Activities

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

Expenses

1 N/A	
2	
3	
4	

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

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

Amount

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

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc, purposes			
a	Average monthly fair market value of securities	1a	22,225,635	
b	Average of monthly cash balances	1b	554,665	
c	Fair market value of all other assets (see instructions)	1c	10,095,087	
d	Total (add lines 1a, b, and c)	1d	32,875,387	
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e		
2	Acquisition indebtedness applicable to line 1 assets	2		
3	Subtract line 2 from line 1d	3	32,875,387	
4	Cash deemed held for charitable activities Enter 1½ % of line 3 (for greater amount, see instructions)	4	493,131	
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	32,382,256	
6	Minimum investment return. Enter 5% of line 5	6	1,619,113	

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

1	Minimum investment return from Part X, line 6	1	1,619,113
2a	Tax on investment income for 2019 from Part VI, line 5	2a	17,579
b	Income tax for 2019 (This does not include the tax from Part VI)	2b	3,667
c	Add lines 2a and 2b	2c	21,246
3	Distributable amount before adjustments Subtract line 2c from line 1	3	1,597,867
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	1,597,867
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5 Enter here and on Part XIII, line 1	7	1,597,867

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc, purposes	1a	1,607,880
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26	1b	NONE
b	Program-related investments—total from Part IX-B	2	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc, purposes	3a	
3	Amounts set aside for specific charitable projects that satisfy the	3b	
a	Suitability test (prior IRS approval required)	4	1,607,880
b	Cash distribution test (attach the required schedule)	5	17,579
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	6	1,590,301
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		
6	Adjusted qualifying distributions. Subtract line 5 from line 4		

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				1,597,867
2 Undistributed income, if any, as of the end of 2019			1,486,644	
a Enter amount for 2018 only				
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2019				
a From 2014				
b From 2015				
c From 2016				
d From 2017				
e From 2018				
f Total of lines 3a through e				
4 Qualifying distributions for 2019 from Part XII, line 4 ► \$ 1,607,880			1,486,644	
a Applied to 2018, but not more than line 2a				
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 2019 distributable amount				121,236
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2019 (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 2018 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2019 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2020				1,476,631
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 2014 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2020. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9				
a Excess from 2015				
b Excess from 2016				
c Excess from 2017				
d Excess from 2018				
e Excess from 2019				

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 Paid during the year SEE SCHEDULE (13)				1,057,500
Total			► 3a	1,057,500
b Approved for future payment				
Total			► 3b	NONE

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)	
1	Program service revenue	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
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	2,292	
4	Dividends and interest from securities			14	1,505,995	
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	-186,676	
9	Net income or (loss) from special events					
10	Gross profit or (loss) from sales of inventory					
11	Other revenue. a Other interest			14	2,513	
b	Income from LLC, Debt-financed property	531120	34,199			
c	Income from LLC, Non Debt-financed properties			16	202,464	
d	Misc			01	2,019	
e						
12	Subtotal Add columns (b), (d), and (e)		34,199		1,526,607	
13	Total. Add line 12, columns (b), (d), and (e)			13	1,562,806	

(See worksheet in line 13 instructions to verify calculations)

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

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?

a Transfers from the reporting foundation to a noncharitable exempt organization of

(1) Cash

(2) Other assets

b Other transactions

(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

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
1b(4)	459,385	SEE SCHEDULE (14)	
			</

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
The Fairfield Homes Title Holding Co., Inc	501 (c)(2)	Payroll and overhead reimbursement arrangement. Fairfield Homes is the
		paymaster of the Auen Foundation

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**

16/03/2019 16:00:00 ➔ gravanza

May the IRS discuss this return
with the preparer shown below?
See Instructions Yes No

Signature of officer or trusted representative		Date	Title		
Paid Preparer Use Only	Print/Type preparer's name CHRISTOPHER P KEARLEY	Preparer's signature <i>Christopher P. Kearley CPA</i>	Date 10/29/2020	Check <input type="checkbox"/> if self-employed	PTIN P01245937
	Firm's name ► ERNST & YOUNG LLP	Firm's EIN ► 34-6565596			
	Firm's address ► 725 S Figueroa St, Los Angeles, CA 90017	Phone no (213) 977-3200			

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2019
Schedule (1), Part 1, Line 11

<u>DESCRIPTION</u>		NET INVESTMENT INCOME	CHARITABLE PURPOSE
OTHER INCOME:	PER BOOKS		
Interest - Notes	2,513	2,513	-
Income from LLCs	236,663	292,695	-
Miscellaneous	<u>2,019</u>	<u>2,019</u>	-
	<u>241,195</u>	<u>297,227</u>	-

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2019
Schedule (2), Part 1, Line 16a

LEGAL FEES TYPE OF SERVICE	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Mitchell, Silberberg, & Knupp, LLC 11377 West Olympic Blvd. Los Angeles, CA 90064 Service: Legal	3,063		3,063
Totals	<u>3,063</u>	-	<u>3,063</u>

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2019
Schedule (3), Part 1, Line 16b

ACCOUNTING FEES TYPE OF SERVICE	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Ernst & Young LLP 725 South Figueroa St., Los Angeles, CA 90017 Service: Tax Return Review	8,035	8,035	
	8,035	-	8,035

The Auen Foundation
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EIN: 95-4325051
Form 990 PF, Dec. 31, 2019
Schedule (4), Part I, Line 18

<u>TAXES</u>	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Federal Excise Tax	10,000	-	-
Federal UBI Tax	18,000	-	-
Alabama UBI Tax	3,501	-	-
Property Taxes	44,670	44,670	-
	<hr/> <u>76,171</u>	<hr/> <u>44,670</u>	<hr/> <u>-</u>

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2019
Schedule (5), Part 1, Line 19

<u>DESCRIPTION</u>	DEPRECIATION EXPENSE
Per Books	7,547
Less, depreciation not for investment purposes	<u>7,547</u>
Column (b) - Net investment income	<u> -</u>

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2019
Schedule (6), Part I, Line 23

<u>DESCRIPTION</u>	PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSE
OTHER EXPENSES:			
Auto/Transportation Expenses	2,816	-	2,816
Employee Auto Reimbursement	(10,250)	-	(10,250)
Bank/Wire Charges	3	3	-
Computer Maintenance	85	-	85
Corporate Fees	10	10	-
Insurance	8,081	1,571	6,510
Miscellaneous Charitable Expenses	1,403	-	1,403
Overhead Reimbursement	926	93	833
Office Supplies	2,352	-	2,352
Subscription	800	70	730
Telephone	2,733	-	2,733
TOTALS	8,959	1,747	7,212

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

EIN: 95-4325051
 Form 990-PF, Dec. 31, 2019
 Schedule (7), Part II, Line 10b

DESCRIPTION	ENDING COST	FMV
<u>COMMON STOCKS</u>		
BERRY PETE CORP	84,000	39,182
EXXON MOBIL CORP	768,491	669,888
UBER TECHNOLOGIES	90,000	59,480
SUB-TOTAL	942,491	768,550
<u>PREFERRED STOCKS</u>		
AEGON FUNDING CORP	100,000	103,800
AGNC INVESTMENT CORP SER E	100,000	102,600
AIRLEASE CORP	50,000	55,080
AMERICAN INTERNATIONAL	100,000	109,360
APOLLO GLBL MNGMT	150,000	162,420
ATHENE HOLDING LTD	150,000	169,500
A T & T INC	100,000	105,200
AXA EQUITABLE HLDG INC	100,000	104,400
BANK OF AMERICA	50,000	53,200
BRUNSWICK CORP	100,000	109,280
CAPITAL ONE FINANCIAL COIRP	200,000	200,720
CUSTOMERS BANCORP	50,000	51,800
CITIZENS FIN GROUP -D	100,000	113,160
CITIZENS FIN GROUP 3-E	100,000	99,720
CMS ENERGY CORP	100,000	109,240
DIGITAL REALTY TST INC	100,000	103,240
ENERGY TRANSFER - D	150,000	148,920
ENERGY TRANSFER - E	100,000	101,280
FORD MOTOR CO	100,000	106,120
FORD MOTOR CO	100,000	106,680
HIGHLAND INCOME FUND	100,000	101,480
NATIONAL STORAGE AFFILIATE	50,000	53,240
MORGAN STANLEY	100,000	100,800
NEW RESIDENTIAL	50,000	51,840
OAKTREE CAP GRP LLC	100,000	108,160
QVC INC	100,000	104,400
QWEST CORPORATION	64,225	65,458
SEMPRA ENERGY	150,000	159,420
STEIFEL FINANCIAL	125,000	134,900
SVB FINANCIAL GROUP	100,000	103,400
SYNCHRONY FINANCIAL	100,000	102,200
THE ALL STATE CORP	100,000	101,280
TWO HARBORS INVESTMENTS	100,000	104,520
	3,339,225	3,506,818
	4,281,716	4,275,368

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

EIN 95-4325051
 Form 990-PF, Dec 31, 2019
 Schedule (8), Part II, Line 10c

DESCRIPTION	COST	FMV
<u>MUTUAL FUNDS</u>		
EATON VANCE FLT -RATE 2022 TR	182,190	182,130
EATON VANCE HIGH INCOME	73,222	75,525
INVESCO VAN KAMP DYN CRDT OPP	35,040	19,885
LORD ABBETT FLT RT	248,993	235,177
LORD ABBETT SHT DURANTION INC	152,043	152,037
LORD ABBETT ULTRA SHORT BD A	50,423	50,467
NUVEEN S&P 500 BUY WRITE INC	239,694	233,750
CALAMOS STRATEGIC TOTAL	85,292	66,382
CATALYST MILBURN HGD STRAT	535,584	563,093
CLOUGH GLOBAL OPP FUND	113,585	89,527
DELAWARE VALUE C	328,453	403,246
FIDELITY ADV MID CAP VALUE C	302,916	277,068
FIRST EAGLE GLOBAL A	203,825	218,370
JP MORGAN LARGE CAP GRW C	589,872	595,561
VOYA LARGE CAP GROWTH C	296,718	366,592
SPDR S&P 500 ETF TRUST	134,770	320,894
SUB-TOTAL	3,572,620	3,849,704
<u>CORPORATE BONDS</u>		
AIRCASTLE LTD	308,256	309,930
AMERICAN EXPRESS	201,538	200,750
AT&T INC	177,019	178,036
AXA SA	44,502	41,023
BANK OF AMERICA	202,524	222,250
SG CONTINGENT	200,000	196,040
CITIGROUP INC	202,500	207,600
CITIGROUP INC	311,256	340,890
CITIGROUP INC	271,319	270,893
CITIZENS FINL INC	256,075	251,563
DELL INTERNATIONAL LLC/EMC CO	105,006	105,500
E TRADE FINANCIAL	263,756	265,625
ENBRIDGE	201,400	216,918
GENERAL ELECTRIC	146,904	146,919
GENERAL MOTORS FINANCIAL	205,056	202,014
GOLDMAN SACHS GROUP	209,687	202,474
HUNTINGTON BANCSHARES	100,000	103,750
ILFC E-CAP REG S	289,762	232,830
JP MORGAN CHASE	204,254	201,500
JP MORGAN CHASE	309,756	322,125
METLIFE INC	101,739	101,288
MORGAN STANLEY-H	207,306	201,760
NAVIENT CORP	99,754	101,470
SIGNATURE BANK OF NEW YORK	153,006	152,382
SYNOVUS FINANCIAL CORP	203,106	212,000
WELLS FARGO CO	207,006	217,764
SUB-TOTAL	5,182,487	5,205,294
<u>STRUCTURED PRODUCTS</u>		
MS CI WO INDICES	200,000	198,630

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

EIN: 95-4325051
Form 990-PF, Dec 31, 2019
Schedule (8), Part II, Line 10c

DESCRIPTION	COST	FMV
CS CONTINGENT WORSTOF RTYSP	1,000,000	980,800
CS CI WO INDICES	100,000	100,590
CS AUTO INDEX	500,000	499,350
CITI CONTINGENT WORSTOF RT	200,000	201,840
CITI WORSTOF CONTINGENTDA	150,000	148,740
BCS CI WO INDICES	250,000	249,125
BCS CIWO INDICES	200,000	203,920
GS WORSTOF CONTINGENT DAILYCA	100,000	100,111
GS CI WO INDICES	350,000	354,200
GS CI WO RTY SPX	500,000	502,450
GS CI WO RTY SP	325,000	323,213
HSBC CI WO INDEX	1,000,000	1,000,200
MS TRIGGER JUMP SPX	98,806	159,750
SG CONTINGENT	600,000	587,040
SG CONTINGENT	600,000	595,200
UBS CONTINGENT WORSTOF RTY DISCRETIONA	100,000	99,850
UBS CONTINGENT WORSTOF RTY	500,000	501,400
UBS CONTINGENT WORSTOF RTY	500,000	492,100
UBS CONTINGENT SLB	200,000	197,000
UBS CONTINGENT WORSTOF R TY SPX SX5E	350,000	347,235
	<u>7,823,806</u>	<u>7,842,744</u>
TOTAL	<u>16,578,913</u>	<u>16,897,742</u>

The Auen Foundation
P. O. Box 13390
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EIN: 95-4325051
Form 990-PF, Dec. 31, 2019
Schedule (9), Part II, Line 11 and 14

DESCRIPTION	BOOK VALUE	ACCUM. DEPRECIATION	NET BOOK VALUE	TOTAL FAIR MARKET VALUE
<u>Line 11: Real Properties</u>				
Vacant Land	5,555,000		5,555,000	2,730,000
<u>Line 14: Fixed Assets</u>				
Transportation and Equipment	150,536	72,463	78,073	78,073

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

Equipment	5 - 10 years
Transportation equipment	5 years

The Auen Foundation
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EIN: 95-4325051
Form 990-PF, Dec. 31, 2019
Schedule (10), Part II, Line 15

DESCRIPTION	<u>BOOK VALUE</u>	<u>FAIR MARKET VALUE</u>
OTHER ASSETS:		
Investment in Berger Tuscaloosa, LLC	2,701,543	4,045,657
Investment in Simpsonville, LLC	4,138,344	4,509,414
Accrued Bond Interest	378	378
Other receivables	131	131
TOTAL AMOUNT	<u>6,840,396</u>	<u>8,555,580</u>

The Auen Foundation
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EIN: 95-4325051
Form 990PF, Dec. 31, 2019
Schedule (11), Part III Line 5

Decreases in Net Assets or Fund Balances not included in the amount
from Part 1 Line 27a - "Excess of revenue over expenses".

	Amount
Loss on disposition of charitable asset	<u>26,821</u>
	<u><u>26,821</u></u>

The Auen Foundation
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EIN: 95-4325051
 Form 990PF, Dec 31, 2019
 Schedule (12), Part IV

<u>ACQUIRED BY PURCHASE</u>	Sales Price	Adjusted Cost	Gain or (loss)
<u>CORPORATE BONDS</u>			
MELLON CAPITAL IV			
	117,932.00	127,931.00	(9,999.00)
GCB BERRY PETROLEUM CO			
	2.00	2.00	-
GENERAL MOTORS FINANCIAL			
	170,619.00	173,822.00	(3,203.00)
GENERAL MOTORS			
	-	98,756.00	(98,756.00)
BANK OF AMERICA			
	172,000.00	175,875.00	(3,875.00)
GENERAL MOTORS FINANCIAL			
	171,932.00	173,822.00	(1,890.00)
ENBRIDGE			
	157,220.00	151,050.00	6,170.00
NEXTERA EGY CAP			
	127,119.00	144,754.00	(17,635.00)
AT&T INC			
	170,674.00	155,885.00	14,789.00
BANK OF AMERICA			
	28,000.00	28,631.00	(631.00)
ILFC E-CAP REG S			
	212,394.00	288,750.00	(76,356.00)
JP MORGAN CHASE			
	100,307.00	101,253.00	(946.00)
SUNTRUST CAPITAL			
	183,594.00	182,006.00	1,588.00
STATE STREET CORP			
	85,000.00	94,006.00	(9,006.00)
SUB-TOTAL CORPORATE BONDS		1,696,793.00	1,896,543.00
(199,750.00)			
<u>COMMON STOCKS</u>			
JUMIA TECHNOLOGIES AG ADR			
	5,484.00	4,350.00	1,134.00
PAGERDUTY INC			
	9,336.00	6,000.00	3,336.00
CHEWY INC CL A			
	39,347.00	22,000.00	17,347.00
GROCERY OUTLET HLDG CORP			
	28,664.00	22,000.00	6,664.00
UBER TECHNOLOGIES			
	92,761.00	90,000.00	2,761.00
LIVONGO HEALTH INC			
	44,433.00	28,000.00	16,433.00
DATADOG			
	19,664.00	13,500.00	6,164.00
MR COOPER GROUP INC			
	8,454.00	28,101.00	(19,647.00)
ZTO EXPRESS CAYMAN INC			
	15,402.00	14,625.00	777.00
SUB-TOTAL COMMON STOCKS		263,545.00	228,576.00
34,969.00			
<u>MUTUAL FUNDS</u>			
ADVENT CLAYMORE CV SECS & INCM			
	22,108.00	79,007.00	(56,899.00)
LORD ABBETT SHT DURANTION INC			
	100,000.00	100,754.00	(754.00)
MS EMERGING MKTS DOMESTIC DEBT			
	22,797.00	79,346.00	(56,549.00)
FIRST EAGLE GLOBAL A			
	200,000.00	190,856.00	9,144.00
VOYA LARGE CAP GROWTH C			
	200,000.00	162,111.00	37,889.00
GS HIGH YIELD INSTL MUTUAL FUND			
	93,229.00	98,706.00	(5,477.00)
GS CORE FIXED INCOME FUND INSTITUTIONA			
	363,628.00	362,712.00	916.00
INVEST TND			
	9,088.00	14,960.00	(5,872.00)
SUB-TOTAL MUTUAL FUNDS		1,010,850.00	1,088,452.00
(77,602.00)			

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

EIN: 95-4325051
 Form 990PF, Dec. 31, 2019
 Schedule (12), Part IV

<u>ACQUIRED BY PURCHASE</u>	Sales Price	Adjusted Cost	Gain or (loss)
<u>PREFERRED STOCKS</u>			
JP MORGAN CHASE & Co 6.0 S-EE	102,113 00	100,000 00	2,113.00
BRUNSWICK CORP	102,248 00	100,000.00	2,248.00
THE HARTORD FIN SERV	104,896 00	100,000 00	4,896 00
JP MORGAN CHASE & Co 5.75 DD	149,754.00	150,000 00	(246 00)
WR BERKLEY CORP	70,850 00	71,575 00	(725.00)
NEXTERA ENERGY CAPITAL	151,909.00	150,000 00	1,909 00
AT&T INC	153,351.00	150,000 00	3,351.00
DIGITAL REALTY TRUST	101,746.00	100,000 00	1,746.00
DUKE ENERGY CORP	154,262.00	150,000.00	4,262.00
ENTERGY LUISIANA LLC	430 00	450 00	(20.00)
KEYCORP	150,435.00	150,000.00	435.00
PRUDENTIAL FINANCIAL INC	19,613.00	19,250 00	363 00
TELE DATA	60,377 00	65,575 00	(5,198 00)
WR BERKLEY CORP	128,724 00	128,425 00	299 00
ALLSTATE CORP	132,091 00	125,000 00	7,091 00
ASHFORD HOSPITALITY	125,642.00	150,000 00	(24,358 00)
LEGACY RESVS LP FXD/FLT	17.00	18,149 00	(18,132 00)
TEEKAY LNG PARTNERS LP	75,299.00	75,000 00	299 00
ANNALY CAP MNGMT INC	149,509 00	150,000 00	(491 00)
BANK OF AMERICA	105,056.00	100,000 00	5,056 00
BANK OF AMERICA	102,919.00	100,000 00	2,919 00
PRUDENTIAL FINANCIAL INC	142,720.00	130,750 00	11,970 00
NORTH TRUST CORP S-E	50,920.00	50,000 00	920 00
 SUB-TOTAL PREFERRED STOCKS	 2,334,881 00	 2,334,174 00	 707.00
<u>STRUCTURED NOTES</u>			
BCS CIWO INDICES	150,000 00	150,000 00	-
HSBC CI WO INDEX	250,000.00	250,000 00	-
CITI CONTINGENT AUTOCALL ON JPM	150,000.00	150,000.00	-
MS CI AUTOCALL ON	100,000 00	100,000 00	-
CS CI WO INDICES	500,000 00	500,000 00	-
CS CI WO INDICES	500,000 00	500,000 00	-
BCS CI WO INDICES	200,000 00	200,000 00	-
JPM CI WO INDICES	200,000 00	200,000 00	-
MS CIWO INDICES	250,000 00	250,000 00	-
CS CI WO INDICES	500,000.00	500,000 00	-
CS CI WO INDICES	200,000 00	200,000 00	-
BCS CI WO INDICES	250,000.00	250,000 00	-
MS WOAUTO INDEX	255,000 00	200,000 00	55,000.00
BCS CI WO INDICES	250,000 00	250,000 00	-
BCS CI WO INDICES	500,000.00	500,000 00	-
BCS CIWO INDICES	500,000 00	500,000 00	-
BCS CI WO INDICES	200,000 00	200,000.00	-
BCS CI WO INDICES	1,000,000 00	1,000,000 00	-
BCS CIWO INDICES	150,000 00	150,000.00	-
SG CONTINGENT	250,000 00	250,000.00	-
UBS CONTINGENT WORSTOF RTY DISCRETION	100,000 00	100,000.00	-
 SUB-TOTAL STRUCTURED NOTES	 6,455,000.00	 6,400,000.00	 55,000 00
 TOTAL	 11,761,069.00	 11,947,745 00	 (186,676 00)

The Auen Foundation

EIN 95-4325051, Form 990-PF, December 2019

Schedule (13), Part XV Line 3A, Grants Paid During Year and Part 1 Line 25
5 August 2020

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
January 2019					
A.C.T. for Multiple Sclerosis senior programs	A19-03	1/28/2019 CK#3672	\$20,000.00	3308880635	73-710 Fred Waring Drive Ste. 118 Palm Desert, CA 92260
American Heart Association - Coachella Valley Division <i>paint the future red</i>	A19-05	1/22/2019 CK#3670	\$5,000.00	135613797	1700 Iowa Avenue Site 240 Riverside, CA 92507
Barbara Sinatra Children's Center at Eisenhower <i>Intergenerational programs</i>	A19-01	1/15/2019 CK#3668	\$5,000.00	330136550	39000 Bob Hope Drive Rancho Mirage, CA 92270
Desert Arc <i>operating expenses</i>	A19-06	1/22/2019 CK#3669	\$5,000.00	956006700	73-255 Country Club Drive Palm Desert, CA 92260
Inquiring Systems Inc. senior programs	A19-04	1/28/2019 CK#3673	\$15,000.00	942524840	101 Brookwood Ave Santa Rosa, CA 95404
Tools For Tomorrow <i>elementary school student mentoring program</i>	A19-02	1/28/2019 CK#3671	\$10,000.00	330889045	42-600 Cook Street Suite #132 Palm Desert, CA 92211
<u>\$60,000.00</u>					
Total January 2019 (6 items)					
February 2019					
California CareForce <i>2019 Coachella clinic costs to provide dental, vision, medical and hearing services to the aging population</i>	A19-18	2/28/2019 CK#3683	\$15,000.00	452408171	950 Reserve Drive, Suite 120 Roseville, CA 95678
Coronado Hospital Foundation <i>increase beds to 15 in the intensive care unit</i>	A19-15	2/28/2019 CK#3682	\$35,000.00	953273985	250 Prospect Place Coronado, CA 92118
Coronado Promenade Concerts <i>Intergenerational concert in the park</i>	A19-14	2/20/2019 CK#3678	\$4,000.00	271045525	PO Box 182072 Coronado, CA 92178

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Desert Chapel <i>In honor of Ray Smith</i>	A19-13	2/11/2019 CK#3675	\$10,000.00		630 S. Sunrise Way Palm Springs, CA 92264
Joslyn Senior Center <i>Senior Wellness program</i>	A19-09	2/20/2019 CK#3677	\$25,000.00	953622332	73-750 Catalina Way Palm Desert, CA 92260
Operation Safe House, Inc. <i>senior volunteering program</i>	A19-16	2/20/2019 CK#3680	\$5,000.00	330326090	9685 Hayes Street Riverside, CA 92503
Parkinson's Resource Organization <i>Third year of Mitch's Pitches PRO</i>	A19-08	2/6/2019 CK#3674	\$5,000.00	954304276	74-478 HWY 111, Suite #102 Palm Desert, CA 92260
Steinway Society of Riverside County and the Coachella Valley <i>In honor of Phyllis Eisenberg</i>	A19-12	2/11/2019 CK#3676	\$1,500.00	331091628	PO Box 3015 Rancho Mirage, CA 92270
The Unforgettables Foundation <i>Senior clinical collaborators</i>	A19-11	2/20/2019 CK#3679	\$10,000.00	330885478	345 W. Pearl Ave., Suite 230 Redlands, CA 92374
Virginia Waring International Piano Competition <i>intergenerational senior programs</i>	A19-10	2/27/2019 CK#3681	\$15,000.00	330025613	73-710 Fred Waring Dr., #201 Palm Desert, CA 92260
<hr/> <i>Total February 2019 (10 items)</i> <hr/>				\$125,500.00	
March 2019					
Angel View Inc. <i>senior programs</i>	A19-21	3/19/2019 CK#3687	\$15,000.00	951861861	67625 E. Palm Canyon Dr. Suite 7A Cathedral City, CA 92234
College of the Desert Foundation GAP Scholarships	A19-17	3/11/2019 CK#3684	\$25,000.00	953829219	43-500 Monterey Avenue Palm Desert, CA 92260
Desert AIDS Project <i>senior health and dental services</i>	A19-07	3/12/2019 CK#3685	\$50,000.00	330068583	1695 North Sunrise Way PO Box 2890 Palm Springs, CA 92263-2890
Operation Safehouse Inc <i>for upgrades to the Harrison House</i>	A19-25	3/27/2019 CK#3690	\$5,000.00	33-0326090	9685 Hayes Street Riverside, CA 92503
Salk Institute for Biological Studies <i>research for elderly health issues</i>	A19-24	3/27/2019 CK#3689	\$15,000.00	932160097	10010 N. Torrey Pines Road La Jolla, CA 92037-1002

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
St. Jude Children's Research Hospital <i>give to live</i>	A19-19	3/1/2019 CK#Credit Card	\$5,000.00	351044585	12365 Lewis Street, Suite 101 Garden Grove, CA 92840
The Desert Symphony, Inc. <i>multi-generational programs</i>	A19-23	3/20/2019 CK#3688	\$10,000.00	953871126	72925 Fred Waring Dr., Suite 101 Palm Desert, CA 92260
Umbrella Ministries <i>matching funds for grieving families</i>	A19-22	3/13/2019 CK#3686	\$5,000.00	450577390	PO Box 4906 Palm Springs, CA 92263
<i>Total March 2019 (8 items)</i>			<u>\$130,000.00</u>		
April 2019					
AIDS Assistance Program <i>food voucher program</i>	A19-29	4/11/2019 CK#3693	\$30,000.00	330566442	1276 N. Palm Canyon Drive Suite 108 PO Box 4182 Palm Springs, CA 92263
Barbara Sinatra Children's Center at Eisenhower	A19-27	4/11/2019 CK#3692	\$10,000.00	330136550	39000 Bob Hope Drive Rancho Mirage, CA 92270
<i>Total April 2019 (2 items)</i>			<u>\$40,000.00</u>		
May 2019					
American Cancer Society, Inc. (Desert Palms Area) <i>research and critical services to cancer patients in the Coachella Valley</i>	A19-28	5/14/2019 CK#3695	\$30,000.00	131788491	69730 Highway 111 Suite 213 Rancho Mirage, CA 92270
Coachella Valley Symphony <i>for marketing, PR and senior enrichment programs</i>	A19-26	5/14/2019 CK#3696	\$10,000.00	330481383	42600 Cook St. Suite 137 Palm Desert, CA 92211
College of the Desert Foundation <i>Bruce Fessier Journalism Internship Fund at College of the Desert</i>	A19-31	5/23/2019 CK#3697	\$2,500.00	953829219	43-500 Monterey Avenue Palm Desert, CA 92260
Foundation for Palm Springs Unified School District <i>because of the work and love of our community we at the Auen Foundation would like to contribute to the Keisha D Musical Scholarship</i>	A19-30	5/14/2019 CK#3694	\$5,000.00	261265520	980 East Tahquitz Canyon Way, Suite 202 Palm Springs, CA 92262

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Well in the Desert <i>summer and Christmas program support</i>	A19-32	5/28/2019 CK#3698	\$25,000.00 <hr/> \$72,500.00	330694580	PO Box 5312 Palm Springs, CA 92263
Total May 2019 (5 items)					
June 2019					
Coachella Valley Repertory Theatre <i>operating expenses</i>	A19-34	6/3/2019 CK#3699	\$2,000.00	954304295	69930 HWY 111, Suite 116 Rancho Mirage, CA 92270
Foundation for Palm Springs Unified School District <i>intergenerational student mentor program called SMART</i>	A19-35	6/12/2019 CK#3701	\$30,000.00	261265520	980 East Tahquitz Canyon Way, Suite 202 Palm Springs, CA 92262
Rancho Mirage Writer's Festival <i>Video Sponsor with goals to reach all people regardless of homebound or financially restricted</i>	A19-33	6/4/2019 CK#3700	\$30,000.00 <hr/> \$62,000.00	371754922	71-100 HWY 111 Rancho Mirage, CA 92270
Total June 2019 (3 items)					
July 2019					
Assistance League of Palm Springs Desert Area <i>senior services</i>	A19-37	7/15/2019 CK#3704	\$7,500.00	237792226	P.O. Box 3056 Rancho Mirage, CA 92270
Coronado Hospital Foundation <i>helping the underwriting sponsorship of the golf tournament fundraiser</i>	A19-39	7/10/2019 CK#3703	\$2,500.00	953273985	250 Prospect Place Coronado, CA 92118
Parade Charities, Inc. <i>Sponsor the Senior Seating section in the 2019 Golf Cart Parade</i>	A19-36	7/3/2019 CK#3702	\$15,000.00	330206420	Palm Desert Area Chamber of Commerce Palm Desert Golf Cart Parade 72-559 HWY 111 Palm Desert, CA 92260
The LGBT Community Center of the Desert <i>mental health expansion for older adults</i>	A19-38	7/15/2019 CK#3705	\$25,000.00	330937301	611 S. Palm Canyon Drive Suite 201 Palm Springs, CA 92264
Veterans of Foreign Wars of the US - Joseph L. Stone Post # 1534 <i>to provide funding towards a kitchen remodel</i>	A19-40	7/18/2019 CK#3706	\$1,000.00	9533801159	1 Club House Dr. Desert Hot Springs, CA 92241

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Zero - The End of Prostate Cancer <i>in prevention for prostate cancer</i>	A19-20	7/23/2019 CK#3707	\$5,000.00	59-3400922	515 King St. Alexandria, VA 22314
Total July 2019 (6 items)			\$56,000.00		
August 2019					
Mama's House <i>operating expenses</i>	A19-44	8/28/2019 CK#3711	\$20,000.00	454384613	PO Box 1816 44-875 Deep Canyon, Suite 2 Palm Desert, CA 92261
Guide Dogs of the Desert <i>funding for the breeding program to ensure more guide dogs for our senior population</i>	A19-42	8/14/2019 CK#3709	\$50,000.00	237296531	PO Box 1692 Palm Springs, CA 92263
Hearts Everywhere Reaching Out For Children <i>operating expenses</i>	A19-43	8/14/2019 CK#3708	\$5,000.00	74-3094690	580 W. Crossville Road Suite 204 Roswell, GA 30075
Mizell Senior Center <i>funding for "A Matter of Balance" fall prevention program</i>	A19-41	8/27/2019 CK#3710	\$25,000.00	953464835	480 S. Sunrise Way Palm Springs, CA 92262
Total August 2019 (4 items)			\$100,000.00		
September 2019					
Alzheimers Coachella Valley <i>training for caregivers</i>	A19-48	9/18/2019 CK#3717	\$10,000.00	821949979	42600 Cook St. Suite 134 Palm Desert, CA 92211
Desert Cancer Foundation <i>Senior patient local series</i>	A19-46	9/17/2019 CK#3715	\$17,500.00	330648823	74091 Larrea Street Palm Desert, CA 92260
Friends of the Palm Springs Library <i>\$20,000.00 for your speaker series and \$10,000.00 for large print books, audio books, and eBooks geared for the senior population</i>	A19-45	9/4/2019 CK#3713	\$30,000.00	510142318	300 S. Sunrise Way Palm Springs, CA 92262
Jewish Family Service of the Desert <i>emergency assistance program for seniors</i>	A19-49	9/30/2019 CK#3718	\$30,000.00	330613083	490 S. Farrell Drive-Suite C208 Palm Springs, CA 92262
Martha's Village & Kitchen <i>Homeless Grandfamilies Housing and Wrap Around Services Program</i>	A19-51	9/30/2019 CK#3719	\$25,000.00	330777892	83-791 Date Avenue Indio, CA 92201

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Operation Safehouse Inc <i>upgrade Safehouse of the Desert emergency center</i>	A19-47	9/4/2019 CK#3714	\$15,000.00	33-0326090	9685 Hayes Street Riverside, CA 92503
Read With Me Volunteer Programs <i>brining seniors to schools in the Coacheilla Valley for mentoring programs</i>	A19-50	9/17/2019 CK#3716	\$30,000.00	471406641	PO Box 1016 Rancho Mirage, CA 92270
<i>Total September 2019 (7 items)</i>			<u>\$157,500.00</u>		
October 2019					
Angel View Inc. <i>seniors with disabilities</i>	A19-52	10/15/2019 CK#3722	\$15,000.00	951861861	67625 E. Palm Canyon Dr. Suite 7A Cathedral City, CA 92234
Joslyn Senior Center <i>Senior Float Project</i>	A19-54	10/15/2019 CK#3721	\$1,000.00	953622332	73-750 Catalina Way Palm Desert, CA 92260
Palm Springs Sisters of Perpetual Indulgence <i>operating expenses</i>	A19-53	10/8/2019 CK#3720	\$2,000.00	20-8810379	P.O. Box 5192 Palm Springs, CA 92263
The Ranch Recovery Centers, Inc. <i>Senior Treatment Services</i>	A19-55	10/17/2019 CK#3723	\$30,000.00	237365064	7885 Annandale Avenue Desert Hot Springs, CA 92240
<i>Total October 2019 (4 items)</i>			<u>\$48,000.00</u>		
November 2019					
Elderhelp <i>for transportation</i>	A19-59	11/13/2019 CK#3725	\$15,000.00	952880426	6150 Mission Gorge Rd. #140 San Diego, CA 92120
International Classical Concerts of the Desert <i>concerts for the community including senior citizens</i>	A19-58	11/5/2019 CK#3724	\$2,500.00	061775331	PO Box 1227 La Quinta, CA 92253
St. Jude Children's Research Hospital <i>operation expenses</i>	A19-62	11/26/2019 CK#3726	\$7,500.00	351044585	12365 Lewis Street, Suite 101 Garden Grove, CA 92840
<i>Total November 2019 (3 items)</i>			<u>\$25,000.00</u>		

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
December 2019					
California Community Foundation <i>Grant to California Community Foundation Donor Advised Fund</i>	AC19-63	12/9/2019 CK#3729	\$125,000.00	95-3510055	221 S. Figueroa St. #400 Los Angeles, CA 90012
Coachella Valley BookPals - Palm Springs Women in Film & Television <i>Coachella Valley BookPALS monthly expenses and to purchase books for school children readers visits</i>	A19-64	12/18/2019 CK#3730	\$6,000.00	421616628	1775 E. Palm Canyon Dr. Ste 110-381 Palm Springs, CA 92264
The Palm Springs International Film Society <i>Senior Programs</i>	A19-56	12/2/2019 CK#3728	\$40,000.00	951641910	1700 E. Tahquitz Canyon Way, #3 Palm Springs, CA 92262
Tools For Tomorrow <i>intergenerational program - mentoring</i>	A19-61	12/2/2019 CK#3727	\$10,000.00	330889045	42-600 Cook Street Suite #132 Palm Desert, CA 92211
Total December 2019 (4 items)			\$181,000.00		
Grand Totals (62 items)			\$1,057,500.00		

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2019
Schedule (14), Part XVII, Line 1b(4)

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

<u>Line No.</u>	<u>Amount Involved</u>	<u>Name of Non-Charitable Exempt Organization</u>	<u>Description</u>
b(4)	\$ 459,385	The Fairfield Homes Title Holding Co., Inc. (exempt IRC 501 (c)(2)}	Is the paymaster of the Foundation as authorized by Employment Tax Reg. 31.3121(s) - 1(a) and (b). Accounting services and other administrative expenses provided to the Foundation at allocated cost in accordance with an overhead sharing agreement.