Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung benefit trust or private foundation)

The organization may have to use a copy of this return to satisfy state reporting requirements.

For Paperwork Reduction Act Notice, see the separate instructions.

Form 990
2010

A For the 2010 calendar year, or tax year beginning 01-01-2010, and ending 12-31-2010

C Name of organization
BOYCE THOMPSON INSTITUTE FOR PLANT RESEARCH INC

D Employer identification number
13-1739923

B Check if applicable
☐ Address change
☐ Name change
☐ Initial return
☐ Terminated
☐ Amended return
☐ Application pending

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

E Telephone number
(607) 254-1234

City or town, state or country, and ZIP + 4
ITHACA, NY 148531801

G Gross receipts $ 19,288,491

F Name and address of principal officer
DAVID STEIN
TOWER ROAD
ITHACA, NY 148531801

H(a) Is this a group return for affiliates?
☐ Yes ☐ No

H(b) Are all affiliates included?
☐ Yes ☐ No

H(c) If "No," attach a list (see instructions)

J Website: WWW.BTI.CORNELL.EDU

K Form of organization
Corporation ☐ Trust ☐ Association ☐ Other ▶

L Year of formation 1924
M State of legal domicile NY

Part I - Summary

1 Briefly describe the organization's mission or most significant activities
THE BOYCE THOMPSON INSTITUTE FOR PLANT RESEARCH, INC (BTI) WAS FOUNDED BY WILLIAM BOYCE THOMPSON OUT OF A CONV ICTION THAT "ANY PRINCIPLES CONCERNING THE NATURE OF LIFE THAT YOU CAN ESTABLISH FOR PLANTS, WILL HELP YOU UNDERSTAND MAN, IN HEALTH AND IN DISEASE." HE ALSO SAW PLANT SCIENCE AS A MEANS OF ENDING HUNGER, THUS ULTIMATELY, PROMOTING DEMOCRACY AND POLITICAL STABILITY. BTI SCIENTISTS INCREASE THE UNDERSTANDING OF PLANTS FOR THE BENEFIT OF PEOPLE AND THE ENVIRONMENT, CONCENTRATING PARTICULARLY ON PLANT DEVELOPMENT, MOLECULAR PLANT-MICROBE INTERACTIONS, AND MOLECULAR AND CHEMICAL ECOLOGY. BTI ENVISIONS A WORLD IN WHICH NUTRITIOUS FOOD IS IN ABUNDANCE, THE ENVIRONMENT IS SECURE, AND PEOPLE LIVE FULLER, HEALTHIER LIVES. THIS VISION CAN BE REALIZED IN PART THROUGH THE STUDY OF PLANT BIOLOGY AT BTI, WHERE WE STRIVE TO BE A WORLD LEADER IN PLANT BIOLOGY.

2 Check this box "X" if the organization discontinued its operations or disposed of more than 25% of its net assets
☐ Yes ☐ No

3 Number of voting members of the governing body (Part VI, line 1a) ... 3 19

4 Number of independent voting members of the governing body (Part VI, line 1b) ... 4 18

5 Total number of individuals employed in calendar year 2010 (Part V, line 2a) ... 5 224

6 Total number of volunteers (estimate if necessary) ... 6 0

7a Total unrelated business revenue from Part VIII, column (C), line 12 ... 7a 0

7b Net unrelated business taxable income from Form 990-T, line 34 ... 7b 0

8 Contributions and grants (Part VIII, line 1h) ... 8 11,161,857 12,519,600

9 Program service revenue (Part VIII, line 2g) ... 9 0 0

10 Investment income (Part VIII, column (A), lines 3, 4, and 7d) ... 10 1,261,196 4,977,873

11 Other revenue (Part VIII, column (A), lines 5, 6, 8c, 9c, 10c, and 11e) ... 11 11,090,436 789,727

12 Total revenue= add lines 8 through 11 (must equal Part VIII, column (A), line 12) ... 12 23,513,489 18,287,200

13 Grants and similar amounts paid (Part IX, column (A), lines 1-3) ... 13 0 0

14 Benefits paid to or for members (Part IX, column (A), line 4) ... 14 0 0

15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10) ... 15 9,796,266 9,265,332

16 Professional fundraising fees (Part IX, column (A), line 11e) ... 16 0 0

17 Total fundraising expenses (Part IX, column (D), line 25) ... 17 560,935 9,997,053

18 Total expenses: Add lines 13-17 (must equal Part IX, column (A), line 25) ... 18 16,401,201 19,262,395

19 Revenue less expenses Subtract line 18 from line 12 ... 19 7,112,288 -975,195

20 Total assets (Part X, line 16) ... 20 98,910,509 102,712,454

21 Total liabilities (Part X, line 26) ... 21 9,059,676 9,690,873

22 Net assets or fund balances Subtract line 21 from line 20 ... 22 89,850,833 93,021,581

Part II Signature Block

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 officer) is based on all information of which preparer has any knowledge.

Sign Here

Signature of officer
SOFIA DARLING, VP FINANCE

Signature Date
2011-11-15

Type or print name and title
SOFIA DARLING, VP FINANCE

Preparer's signature
FREDERICK H ROTHMAN

Date
2011-11-15

Check if self-employed
☐

PTIN

Firm’s name ▶ LOG & TROPER LLP

Firm’s EIN

Firm’s address ▶ 655 THIRD AVENUE 12TH FLOOR
NEW YORK, NY 10017

Phone number (212) 867-4000

May the IRS discuss this return with the preparer shown above? (see instructions) ☐ Yes ☐ No

Preparer Use Only

Form 990 (2010)
Cat No.11282Y

For Paperwork Reduction Act Notice, see the separate instructions.
Part III  Statement of Program Service Accomplishments

Check if Schedule O contains a response to any question in this Part III.

1. Briefly describe the organization’s mission.

TO ADVANCE AND COMMUNICATE SCIENTIFIC KNOWLEDGE IN PLANT BIOLOGY TO IMPROVE AGRICULTURE, PROTECT THE ENVIRONMENT, AND ENHANCE HUMAN HEALTH.

2. Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ?

If “Yes,” describe these new services on Schedule O.

3. Did the organization cease conducting, or make significant changes in how it conducts, any program services?

If “Yes,” describe these changes on Schedule O.

4. Describe the exempt purpose achievements for each of the organization’s three largest program services by expenses.

Section 501(c)(3) and 501(c)(4) organizations and section 4947(a)(1) trusts are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code ) (Expenses $ 2,199,108 including grants of $ ) (Revenue $ )

SEE SCHEDULE O Protect the environment & renewable energy institute scientists advance, communicate, and apply plant research to protecting the environment and advancing renewable energy plants help offset global warming by absorbing carbon dioxide. Plants also provide renewable and sustainable sources of food and energy. Worldwide, at BTI, the Boyce Thompson Institute, scientists use a suite of modern techniques to understand key processes such as photosynthesis and biomass production, at the molecular, biochemical, and genetic level. Research at BTI aims to improve plant growth and increase yield with fewer negative effects on the environment.

4b (Code ) (Expenses $ 8,127,046 including grants of $ ) (Revenue $ )

SEE SCHEDULE O Improve agriculture/sustainable food production institute scientists advance, communicate, and apply plant research towards producing an increasingly sustainable food supply. The United Nations February, 2010 food security analysis cites climate change, natural disaster, rapid urbanization, and unprecedented population growth as great challenges to the sustainable future of the world food supply. At BTI, scientists are investigating, at the molecular level, how plants grow, respond to light, and make use on a scale that can meet demand. Current research is focused on improving the nutritive quality of food, increasing yield, and furthering the sustainability of agronomically viable plant species. Specific research focuses on longer shelf-life, natural insect control to further reduce the need for pesticides, enhanced disease resistance in plants, crops that produce higher yield with less light, reduced need for chemical fertilization, and plants with higher tolerance for environmental stressors such as drought, heat, and cold.

4c (Code ) (Expenses $ 1,648,142 including grants of $ ) (Revenue $ )

SEE SCHEDULE O Improve human health institute scientists advance, communicate, and apply plant research towards improved human health. Current research at BTI may lead to an increase in our understanding of stem cells, Alzheimer's disease and aging, produce foods to combat vitamin deficiencies, provide natural ways to control blood pressure, and use genetic tools to combat disease in humans, such as the employment of plant-derived compounds as anti-cancer agents.

4d Other program services (Describe in Schedule O) See also Additional Data for Description

(Expenses $ 3,746,464 including grants of $ ) (Revenue $ )

4e Total program service expenses $ 15,720,760
<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If &quot;Yes,&quot; complete Schedule C.</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>2. Is the organization required to complete Schedule B, Schedule of Contributors (see instruction)?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>3. Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If &quot;Yes,&quot; complete Schedule C, Part 1.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>4. <strong>Section 501(c)(3) organizations.</strong> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If &quot;Yes,&quot; complete Schedule C, Part II.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>5. Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If &quot;Yes,&quot; complete Schedule C, Part III.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Did the organization maintain any donor advised funds or any similar funds or accounts where donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If &quot;Yes,&quot; complete Schedule D, Part 1.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>7. Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If &quot;Yes,&quot; complete Schedule D, Part 11.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>8. Did the organization maintain collections of works of art, historical treasures, or other similar assets? If &quot;Yes,&quot; complete Schedule D, Part 11.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>9. Did the organization report an amount in Part X, line 21, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? If &quot;Yes,&quot; complete Schedule D, Part IV.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>10. Did the organization, directly or through a related organization, hold assets in term, permanent, or quasi-endowments? If &quot;Yes,&quot; complete Schedule D, Part VI.</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>11. If the organization's answer to any of the following questions is 'Yes,' then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If &quot;Yes,&quot; complete Schedule D, Part VI.</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>b. Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If &quot;Yes,&quot; complete Schedule D, Part VII.</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>c. Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If &quot;Yes,&quot; complete Schedule D, Part VIII.</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>d. Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If &quot;Yes,&quot; complete Schedule D, Part IX.</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>e. Did the organization report an amount for other liabilities in Part X, line 25? If &quot;Yes,&quot; complete Schedule D, Part X.</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>f. Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If &quot;Yes,&quot; complete Schedule D, Part X.</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>12a. Did the organization obtain separate, independent audited financial statements for the tax year? If &quot;Yes,&quot; complete Schedule D, Parts XI, XII, and XIII.</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>b. Was the organization included in consolidated, independent audited financial statements for the tax year? If &quot;Yes,&quot; and if the organization answered 'No' to line 12a, then completing Schedule D, Parts XI, XII, and XIII is optional.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>13. Is the organization a school described in section 170(b)(1)(A)(ii)? If &quot;Yes,&quot; complete Schedule E.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>14a. Did the organization maintain an office, employees, or agents outside of the United States?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>b. Did the organization have aggregate revenues or expenses of more than $10,000 from grantmaking, fundraising, business, and program service activities outside the United States? If &quot;Yes,&quot; complete Schedule F, Parts I and IV.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>15. Did the organization report on Part IX, column (A), line 3, more than $5,000 of grants or assistance to any organization or entity located outside the U.S.? If &quot;Yes,&quot; complete Schedule F, Parts II and IV.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>16. Did the organization report on Part IX, column (A), line 3, more than $5,000 of aggregate grants or assistance to individuals located outside the U.S.? If &quot;Yes,&quot; complete Schedule F, Parts III and IV.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>17. Did the organization report a total of more than $15,000, of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11? If &quot;Yes,&quot; complete Schedule G, Part I (see instructions).</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>18. Did the organization report more than $15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If &quot;Yes,&quot; complete Schedule G, Part II.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>19. Did the organization report more than $15,000 of gross income from gaming activities on Part VIII, line 9a? If &quot;Yes,&quot; complete Schedule G, Part III.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>20a. Did the organization operate one or more hospitals? If &quot;Yes,&quot; complete Schedule H.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>b. If &quot;Yes&quot; to line 20a, did the organization attach its audited financial statement to this return? <strong>Note.</strong> Some Form 990 filers that operate one or more hospitals must attach audited financial statements (see instructions)</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>
**Part IV Checklist of Required Schedules (continued)**

21 Did the organization report more than $5,000 of grants and other assistance to governments and organizations in the United States on Part IX, column (A), line 1? If "Yes," complete Schedule I, Parts I and II .

22 Did the organization report more than $5,000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? If "Yes," complete Schedule I, Parts I and III .

23 Did the organization answer "Yes" to Part VII, Section A, questions 3, 4, or 5, about compensation of the organization’s current and former officers, directors, trustees, key employees, and highest compensated employees? If "Yes," complete Schedule 1.

24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than $100,000 as of the last day of the year, that was issued after December 31, 2002? If "Yes," answer lines 24b-24d and complete Schedule K. If "No," go to line 25 .

b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? .

c Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? .

d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? .

25a **Section 501(c)(3) and 501(c)(4) organizations.** Did the organization engage in an excess benefit transaction with a disqualified person during the year? If "Yes," complete Schedule L, Part I .

b Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization’s prior Forms 990 or 990-EZ? If "Yes," complete Schedule L, Part I .

26 Was a loan to or by a current or former officer, director, trustee, key employee, highly compensated employee, or disqualified person outstanding as of the end of the organization’s tax year? If "Yes," complete Schedule L, Part II .

27 Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor, or a grant selection committee member, or to a person related to such an individual? If "Yes," complete Schedule L, Part III .

28a Did the organization engage in a business transaction with one of the following parties? (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)

28b A current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV .

28c A family member of a current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV .

28d An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? If "Yes," complete Schedule L, Part IV .

29 Did the organization receive more than $25,000 in non-cash contributions? If "Yes," complete Schedule M .

30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? If "Yes," complete Schedule M .

31 Did the organization liquidate, terminate, or dissolve and cease operations? If "Yes," complete Schedule N, Part I .

32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If "Yes," complete Schedule N, Part II .

33 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? If "Yes," complete Schedule R, Part I .

34 Was the organization related to any tax-exempt or taxable entity? If "Yes," complete Schedule R, Parts II, III, IV, and V, line 1 .

35 Is any related organization a controlled entity within the meaning of section 512(b)(13)? .

35a Did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If "Yes," complete Schedule R, Part V, line 2 .

36 **Section 501(c)(3) organizations.** Did the organization make any transfers to an exempt non-charitable related organization? If "Yes," complete Schedule R, Part V, line 2.

37 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? If "Yes," complete Schedule R, Part VI .

38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11 and 19? 

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**Note.** All Form 990 filers are required to complete Schedule O.
## Part V  Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response to any question in this Part V

<table>
<thead>
<tr>
<th>1a</th>
<th>Enter the number reported in Box 3 of Form 1096 Enter -0- if not applicable</th>
<th>1a</th>
<th>78</th>
</tr>
</thead>
<tbody>
<tr>
<td>1b</td>
<td>Enter the number of Forms W-2G included in line 1a Enter -0- if not applicable</td>
<td>1b</td>
<td>0</td>
</tr>
<tr>
<td>2a</td>
<td>Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements filed for the calendar year ending with or within the year covered by this return</td>
<td>2a</td>
<td>224</td>
</tr>
<tr>
<td>2b</td>
<td>If at least one is reported on line 2a, did the organization file all required federal employment tax returns?</td>
<td>2b</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**Note.** If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)

| 3a | Did the organization have unrelated business gross income of $1,000 or more during the year? | 3a | No |
| 3b | If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O | 3b |
| 4a | At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? | 4a | No |
| 5a | Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? | 5a | No |
| 5b | Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? | 5b | No |
| 6a | Does the organization have annual gross receipts that are normally greater than $100,000, and did the organization solicit any contributions that were not tax deductible? | 6a | No |
| 7a | Did the organization receive a payment in excess of $75 made partly as a contribution and partly for goods and services provided to the payor? | 7a | No |
| 7b | If "Yes," did the organization notify the donor of the value of the goods or services provided? | 7b | No |
| 7c | Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? | 7c | No |
| 7d | If "Yes," indicate the number of Forms 8282 filed during the year | 7d |
| 7e | Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? | 7e | No |
| 7f | Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 7f | No |
| 7g | If the organization received a contribution of qualified intellectual property, did the organization file Schedule 8899 as required? | 7g |
| 7h | If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C? | 7h |

**8**

**Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.** Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?

**9**

**Sponsoring organizations maintaining donor advised funds.**

| a | Did the organization make any taxable distributions under section 4966? | 9a |
| b | Did the organization make a distribution to a donor, donor advisor, or related person? | 9b |

**10**

**Section 501(c)(7) organizations.** Enter

| a | Initiation fees and capital contributions included on Part VIII, line 12 | 10a |
| b | Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities | 10b |

**11**

**Section 501(c)(12) organizations. Enter**

| a | Gross income from members or shareholders | 11a |
| b | Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them) | 11b |

**12a**

**Section 4947(a)(1) non-exempt charitable trusts.** Is the organization filing Form 990 in lieu of Form 1041?

| b | If "Yes," enter the amount of tax-exempt interest received or accrued during the year | 12b |

**13**

**Section 501(c)(29) qualified nonprofit health insurance issuers.**

| a | Is the organization licensed to issue qualified health plans in more than one state? | 13a |

**Note.** See the instructions for additional information the organization must report on Schedule O

| b | Enter the amount of reserves the organization is required to maintain in the states in which the organization is licensed to issue qualified health plans | 13b |
| c | Enter the amount of reserves on hand | 13c |
| d | Did the organization receive any payments for indoor tanning services during the tax year? | 14a | No |
| e | If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O | 14b |
Part VI  Governance, Management, and Disclosure

For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response to any question in this Part VI.

Section A. Governing Body and Management

1a Enter the number of voting members of the governing body at the end of the tax year.

<table>
<thead>
<tr>
<th>1a</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>19</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1b Enter the number of voting members included in line 1a, above, who are independent.

<table>
<thead>
<tr>
<th>1b</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>18</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2 Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?

| 2 | Yes |

3 Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person?

| 3 | No |

4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?

| 4 | No |

5 Did the organization become aware during the year of a significant diversion of the organization's assets?

| 5 | No |

6 Does the organization have members or stockholders?

| 6 | Yes |

7a Does the organization have members, stockholders, or other persons who may elect one or more members of the governing body?

| 7a | Yes |

7b Are any decisions of the governing body subject to approval by members, stockholders, or other persons?

| 7b | No |

8 Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:

| 8a | Yes |
|----|-----|----|
| 8b | Yes |    |

9 Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O.

| 9 | No |

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

10a Does the organization have local chapters, branches, or affiliates?

| 10a | No |

11a Has the organization provided a copy of this Form 990 to all members of its governing body before filing the form?

| 11a | No |

12a Does the organization have a written conflict of interest policy? If "No," go to line 13.

| 12a | Yes |

12b Are officers, directors or trustees, and key employees required to disclose annually interests that could give rise to conflicts?

| 12b | Yes |

12c Does the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this is done.

| 12c | Yes |

13 Does the organization have a written whistleblower policy?

| 13 | Yes |

14 Does the organization have a written document retention and destruction policy?

| 14 | Yes |

15 Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?

| 15a | Yes |
| 15b | Yes |

16a Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?

| 16a | No |

16b If "Yes," has the organization adopted a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and taken steps to safeguard the organization's exempt status with respect to such arrangements?

| 16b |    |

Section C. Disclosure

17 List the States with which a copy of this Form 990 is required to be filed:

NY

18 Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)) only available for public inspection. Indicate how you make these available. Check all that apply:

- [ ] Only on website
- [ ] Another's website
- [ ] Upon request

19 Describe in Schedule O whether (and if so, how) the organization makes its governing documents, conflict of interest policy, and financial statements available to the public. See Additional Data Table

20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization:

SOPHIA DARLING
TOWER ROAD
ITHACA, NY 14853-1801
(607) 254-1225
Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization’s tax year.

- List all of the organization’s current officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation, and current key employees. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization’s current key employees, if any. See instructions for definition of "key employee."
- List the organization’s five current highest compensated employees (other than an officer, director, trustee or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than $100,000 from the organization and any related organizations.
- List all of the organization’s former officers, key employees, and highest compensated employees who received more than $100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization’s former directors or trustees that received, in the capacity as a former director or trustee of the organization, more than $10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors, institutional trustees, officers, key employees, highest compensated employees, and former such persons.

Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

<table>
<thead>
<tr>
<th>(A) Name and Title</th>
<th>(B) Average hours per week (describe hours for related organizations in Schedule O)</th>
<th>(C) Position (check all that apply)</th>
<th>(D) Reportable compensation from the organization (W-2/1099-MISC)</th>
<th>(E) Reportable compensation from related organizations (W-2/1099-MISC)</th>
<th>(F) Estimated amount of other compensation from the organization and related organizations</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) DAVID STERN</td>
<td>40 00</td>
<td>X</td>
<td>295,786</td>
<td>0</td>
<td>79,397</td>
</tr>
<tr>
<td>PRESIDENT</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(2) EZRA CORNELL</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(3) ROY H PARK JR</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(4) LAURA A PHILLIPS</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(5) BARBARA BAIRD</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(6) ANDY BASS</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(7) ALAN J BILOSKI</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(8) PETER BRUNS</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>(9) THOMAS BURR</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(10) MARY CLUTTER</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(11) WILLIAM CREPET</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(12) GREGORY GALVIN</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(13) GREGORY HARTZ</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(14) KAREN L KINDLE</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(15) SABBEHA MERCHANT</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(16) KATHLEEN MULLINIX</td>
<td>40</td>
<td>X</td>
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<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DIRECTOR</td>
<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>
## Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)

<table>
<thead>
<tr>
<th>(A) Name and Title</th>
<th>(B) Average hours per week</th>
<th>(C) Position (check all that apply)</th>
<th>(D) Reportable compensation from the organization (W-2/1099-MISC)</th>
<th>(E) Reportable compensation from related organizations (W-2/1099-MISC)</th>
<th>(F) Estimated amount of other compensation from the organization and related organizations</th>
</tr>
</thead>
<tbody>
<tr>
<td>(17) CAROLYN SAMPSON DIRECTOR</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>(18) KIRA SHEINERMAN DIRECTOR</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>(19) CRISPIN TAYLOR DIRECTOR</td>
<td>40</td>
<td>X</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>(20) DONNA CLAES SECRETARY</td>
<td>40 00</td>
<td>X</td>
<td>57,474</td>
<td>0</td>
<td>9,628</td>
</tr>
<tr>
<td>(21) SOPHIA DARLING VP FINANCE</td>
<td>40 00</td>
<td>X</td>
<td>77,489</td>
<td>0</td>
<td>13,852</td>
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<tr>
<td>(22) DR ERIC RICHARDS VP RESEARCH</td>
<td>40 00</td>
<td>X</td>
<td>220,063</td>
<td>0</td>
<td>28,202</td>
</tr>
<tr>
<td>(23) JOAN CURTISS COD</td>
<td>40 00</td>
<td>X</td>
<td>92,535</td>
<td>0</td>
<td>0</td>
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<tr>
<td>(24) DR THOMAS BRUTNELL SCIENTIST</td>
<td>40 00</td>
<td>X</td>
<td>115,159</td>
<td>0</td>
<td>31,008</td>
</tr>
<tr>
<td>(25) DR MARIA HARRISON SCIENTIST</td>
<td>40 00</td>
<td>X</td>
<td>150,639</td>
<td>0</td>
<td>13,203</td>
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<tr>
<td>(26) DR DANIEL KLESSIG SCIENTIST</td>
<td>40 00</td>
<td>X</td>
<td>231,686</td>
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<td>0</td>
</tr>
<tr>
<td>(27) JOHN DENTES TREASURER</td>
<td></td>
<td>X</td>
<td>226,937</td>
<td>0</td>
<td>5,334</td>
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<tr>
<td>(28) TAMY BOGAUSCH ASSISTANT TREASURER/SECRETARY</td>
<td></td>
<td>X</td>
<td>28,087</td>
<td>0</td>
<td>6,905</td>
</tr>
</tbody>
</table>

1b Sub-Total ................................................. 1,495,855 0 187,529

c Total from continuation sheets to Part VII, Section A ..........................................

d Total (add lines 1b and 1c) ................................................. 1,495,855 0 187,529

2 Total number of individuals (including but not limited to those listed above) who received more than $100,000 in reportable compensation from the organization 6

| 3 Did the organization list any former officer, director or trustee, key employee, or highest compensated employee on line 1a? If "Yes," complete Schedule J for such individual |
|---|---|---|---|
| Yes | No |
| 3 | Yes |

| 4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than $150,000? If "Yes," complete Schedule J for such individual |
|---|---|---|---|
| Yes | No |
| 4 | Yes |

| 5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If "Yes," complete Schedule J for such person |
|---|---|---|---|
| Yes | No |
| 5 | No |

## Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than $100,000 of compensation from the organization

<table>
<thead>
<tr>
<th>(A) Name and business address</th>
<th>(B) Description of services</th>
<th>(C) Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>CONVERGENT WEALTH ADVISORS 67 MONROE AVE PITTSFORD, NY 14535</td>
<td>INVESTMENT CONSULTING</td>
<td>183,554</td>
</tr>
<tr>
<td>ROBERT GRANADOS 5 EAGLES HEAD RD ITHICA, NY 14850</td>
<td>CONSULTING</td>
<td>114,375</td>
</tr>
<tr>
<td>EDWARDS ANGEL PALMER &amp; DODGE PO BOX 40956 HARTFORD, CT 061510956</td>
<td>LEGAL</td>
<td>108,897</td>
</tr>
</tbody>
</table>

2 Total number of independent contractors (including but not limited to those listed above) who received more than $100,000 in compensation from the organization 6
### Part VIII  Statement of Revenue

<table>
<thead>
<tr>
<th>Contributions, gifts, grants and other similar amounts</th>
<th>(A) Total revenue</th>
<th>(B) Related or exempt function revenue</th>
<th>(C) Unrelated business revenue</th>
<th>(D) Revenue excluded from tax under sections 512, 513, or 514</th>
</tr>
</thead>
<tbody>
<tr>
<td>1a Federated campaigns</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1b Membership dues</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1c Fundraising events</td>
<td>11,046,901</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1d Related organizations</td>
<td>1,472,699</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1e Government grants (contributions)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1f All other contributions, gifts, grants, and similar amounts not included above</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1g Noncash contributions included in lines 1a-1f $</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1h Total, Add lines 1a-1f</td>
<td>12,519,600</td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Program Service Revenue</th>
<th>Business Code</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>2a</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2b</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2c</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2d</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2e</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2f All other program service revenue</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2g Total, Add lines 2a-2f</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Other Revenue

<table>
<thead>
<tr>
<th>Contribution, gifts, grants and other similar amounts</th>
<th>(A) Total revenue</th>
<th>(B) Related or exempt function revenue</th>
<th>(C) Unrelated business revenue</th>
<th>(D) Revenue excluded from tax under sections 512, 513, or 514</th>
</tr>
</thead>
<tbody>
<tr>
<td>3 Investment income (including dividends, interest and other similar amounts)</td>
<td>833,221</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 Income from investment of tax-exempt bond proceeds</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 Royalties</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| 6a Gross Rents                                         |                   |                                        |                             |                                                             |
| 6b Less rental expenses                               |                   |                                        |                             |                                                             |
| 6c Rental income or (loss)                            |                   |                                        |                             |                                                             |
| 6d Net rental income or (loss)                        |                   |                                        |                             |                                                             |

| 7a Gross amount from sales of assets other than inventory | 4,145,943         |                                        |                             |                                                             |
| 7b Less cost or other basis and sales expenses        | 1,291             |                                        |                             |                                                             |
| 7c Gain or (loss)                                      | 4,145,943         |                                        |                             |                                                             |
| 7d Net gain or (loss)                                  | 4,144,652         |                                        |                             |                                                             |

| 8a Gross income from fundraising events (not including $ of contributions reported on line 1c) |                   |                                        |                             |                                                             |
| 8b Less direct expenses                               |                   |                                        |                             |                                                             |
| 8c Net income or (loss) from fundraising events       |                   |                                        |                             |                                                             |

| 9a Gross income from gaming activities See Part IV, line 19 |                   |                                        |                             |                                                             |
| 9b Less direct expenses                                 |                   |                                        |                             |                                                             |
| 9c Net income or (loss) from gaming activities          |                   |                                        |                             |                                                             |

| 10a Gross sales of inventory, less returns and allowances |                   |                                        |                             |                                                             |
| 10b Less cost of goods sold                             |                   |                                        |                             |                                                             |
| 10c Net income or (loss) from sales of inventory        |                   |                                        |                             |                                                             |

<table>
<thead>
<tr>
<th>Miscellaneous Revenue Business Code</th>
<th></th>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>11a REVENUE RELATED TO INT</td>
<td>900099</td>
<td>38,804</td>
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</tr>
<tr>
<td>11b</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11c</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11d All other revenue</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>11e Total, Add lines 11a-11d</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12 Total revenue, See Instructions</td>
<td>18,287,200</td>
<td></td>
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</tr>
</tbody>
</table>
### Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A) but are not required to complete columns (B), (C), and (D).

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.

<table>
<thead>
<tr>
<th></th>
<th>(A) Total expenses</th>
<th>(B) Program service expenses</th>
<th>(C) Management and general expenses</th>
<th>(D) Fundraising expenses</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Grants and other assistance to governments and organizations in the U S See Part IV, line 21</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Grants and other assistance to individuals in the U S See Part IV, line 22</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Grants and other assistance to governments, organizations, and individuals outside the U S See Part IV, lines 15 and 16</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Benefits paid to or for members</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Compensation of current officers, directors, trustees, and key employees</td>
<td>8,077,459</td>
<td>7,392,296</td>
<td>594,849</td>
</tr>
<tr>
<td>6</td>
<td>Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)</td>
<td>267,263</td>
<td>267,263</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Other salaries and wages</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Pension plan contributions (include section 401(k) and section 403(b) employer contributions)</td>
<td>426,910</td>
<td>316,043</td>
<td>107,287</td>
</tr>
<tr>
<td>9</td>
<td>Other employee benefits</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Payroll taxes</td>
<td>493,700</td>
<td>417,668</td>
<td>71,301</td>
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<tr>
<td>a</td>
<td>Fees for services (non-employees)</td>
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<td></td>
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<tr>
<td></td>
<td>Management</td>
<td>2,598,074</td>
<td>1,481,262</td>
<td>1,116,812</td>
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<td>b</td>
<td>Legal</td>
<td>217,668</td>
<td>211,454</td>
<td>6,214</td>
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<tr>
<td>c</td>
<td>Accounting</td>
<td>43,500</td>
<td>43,500</td>
<td></td>
</tr>
<tr>
<td>d</td>
<td>Lobbying</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>e</td>
<td>Professional fundraising services See Part IV, line 17</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>f</td>
<td>Investment management fees</td>
<td>388,709</td>
<td>388,709</td>
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<tr>
<td>g</td>
<td>Other</td>
<td>2,911,184</td>
<td>2,478,127</td>
<td>401,058</td>
</tr>
<tr>
<td>12</td>
<td>Advertising and promotion</td>
<td>1,529,528</td>
<td>1,445,601</td>
<td>81,947</td>
</tr>
<tr>
<td>13</td>
<td>Office expenses</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Information technology</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Royalties</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Occupancy</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>Travel</td>
<td>327,899</td>
<td>278,525</td>
<td>49,374</td>
</tr>
<tr>
<td>18</td>
<td>Payments of travel or entertainment expenses for any federal, state, or local public officials</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>Conferences, conventions, and meetings</td>
<td>52,913</td>
<td>22,731</td>
<td>29,513</td>
</tr>
<tr>
<td>20</td>
<td>Interest</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>Payments to affiliates</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>Depreciation, depletion, and amortization</td>
<td>708,912</td>
<td>694,226</td>
<td>14,686</td>
</tr>
<tr>
<td>23</td>
<td>Insurance</td>
<td>78,970</td>
<td>78,970</td>
<td></td>
</tr>
<tr>
<td>24</td>
<td>Other expenses Itemize expenses not covered above (List miscellaneous expenses in line 24f. If line 24f amount exceeds 10% of line 25, column (A) amount, list line 24f expenses on Schedule O)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a</td>
<td>EXTERNAL &amp; INTERNAL SER</td>
<td>752,675</td>
<td>612,771</td>
<td>136,886</td>
</tr>
<tr>
<td>b</td>
<td>EQUIPMENT MAINTENANCE</td>
<td>327,370</td>
<td>327,370</td>
<td></td>
</tr>
<tr>
<td>c</td>
<td>PUBLICATIONS</td>
<td>59,661</td>
<td>42,686</td>
<td>491</td>
</tr>
<tr>
<td>d</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>e</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>f</td>
<td>All other expenses</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

25 **Total functional expenses. Add lines 1 through 24f**

19,262,395 15,720,760 3,388,860 152,775

26 **Joint costs. Check here if following**

SOP 98-2 (ASC 958-720) Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation
### Balance Sheet

<table>
<thead>
<tr>
<th></th>
<th>(A) Beginning of year</th>
<th>(B) End of year</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Cash—non-interest-bearing</td>
<td>161,750</td>
</tr>
<tr>
<td>2</td>
<td>Savings and temporary cash investments</td>
<td>5,326,782</td>
</tr>
<tr>
<td>3</td>
<td>Pledges and grants receivable, net</td>
<td>914,661</td>
</tr>
<tr>
<td>4</td>
<td>Accounts receivable, net</td>
<td>4</td>
</tr>
<tr>
<td>5</td>
<td>Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees Complete Part II of Schedule L</td>
<td>5</td>
</tr>
<tr>
<td>6</td>
<td>Receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers, and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) Complete Part VI of Schedule D</td>
<td>6</td>
</tr>
<tr>
<td>7</td>
<td>Notes and loans receivable, net</td>
<td>7</td>
</tr>
<tr>
<td>8</td>
<td>Inventories for sale or use</td>
<td>58,989</td>
</tr>
<tr>
<td>9</td>
<td>Prepaid expenses and deferred charges</td>
<td>9</td>
</tr>
<tr>
<td>10a</td>
<td>Land, buildings, and equipment cost or other basis</td>
<td>10,869,038</td>
</tr>
<tr>
<td>10b</td>
<td>Less accumulated depreciation</td>
<td>5,499,806</td>
</tr>
<tr>
<td>11</td>
<td>Investments—publicly traded securities</td>
<td>53,397,555</td>
</tr>
<tr>
<td>12</td>
<td>Investments—other securities See Part IV, line 11</td>
<td>26,766,387</td>
</tr>
<tr>
<td>13</td>
<td>Investments—program-related See Part IV, line 11</td>
<td>13</td>
</tr>
<tr>
<td>14</td>
<td>Intangible assets</td>
<td>14</td>
</tr>
<tr>
<td>15</td>
<td>Other assets See Part IV, line 11</td>
<td>6,317,769</td>
</tr>
<tr>
<td>16</td>
<td>Total assets Add lines 1 through 15 (must equal line 34)</td>
<td>98,910,509</td>
</tr>
<tr>
<td>17</td>
<td>Accounts payable and accrued expenses</td>
<td>1,174,388</td>
</tr>
<tr>
<td>18</td>
<td>Grants payable</td>
<td>18</td>
</tr>
<tr>
<td>19</td>
<td>Deferred revenue</td>
<td>613,750</td>
</tr>
<tr>
<td>20</td>
<td>Tax-exempt bond liabilities</td>
<td>20</td>
</tr>
<tr>
<td>21</td>
<td>Escrow or custodial account liability Complete Part IV of Schedule D</td>
<td>21</td>
</tr>
<tr>
<td>22</td>
<td>Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons Complete Part II of Schedule L</td>
<td>22</td>
</tr>
<tr>
<td>23</td>
<td>Secured mortgages and notes payable to unrelated third parties</td>
<td>23</td>
</tr>
<tr>
<td>24</td>
<td>Unsecured notes and loans payable to unrelated third parties</td>
<td>24</td>
</tr>
<tr>
<td>25</td>
<td>Other liabilities Complete Part X of Schedule D</td>
<td>7,271,538</td>
</tr>
<tr>
<td>26</td>
<td>Total liabilities Add lines 17 through 25</td>
<td>9,059,676</td>
</tr>
</tbody>
</table>

#### Organizations that follow SFAS 117, check here and complete lines 27 through 29, and lines 33 and 34.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>27</td>
<td>Unrestricted net assets</td>
</tr>
<tr>
<td>28</td>
<td>Temporarily restricted net assets</td>
</tr>
<tr>
<td>29</td>
<td>Permanently restricted net assets</td>
</tr>
</tbody>
</table>

#### Organizations that do not follow SFAS 117, check here and complete lines 30 through 34.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>30</td>
<td>Capital stock or trust principal, or current funds</td>
</tr>
<tr>
<td>31</td>
<td>Paid-in or capital surplus, or land, building or equipment fund</td>
</tr>
<tr>
<td>32</td>
<td>Retained earnings, endowment, accumulated income, or other funds</td>
</tr>
<tr>
<td>33</td>
<td>Total net assets or fund balances</td>
</tr>
<tr>
<td>34</td>
<td>Total liabilities and net assets/fund balances</td>
</tr>
</tbody>
</table>
## Part XI  Reconciliation of Net Assets

Check if Schedule O contains a response to any question in this Part XI.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Total revenue (must equal Part VIII, column (A), line 12)</td>
</tr>
<tr>
<td>2</td>
<td>Total expenses (must equal Part IX, column (A), line 25)</td>
</tr>
<tr>
<td>3</td>
<td>Revenue less expenses  Subtract line 2 from line 1</td>
</tr>
<tr>
<td>4</td>
<td>Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))</td>
</tr>
<tr>
<td>5</td>
<td>Other changes in net assets or fund balances (explain in Schedule O)</td>
</tr>
<tr>
<td>6</td>
<td>Net assets or fund balances at end of year  Combine lines 3, 4, and 5 (must equal Part X, line 33, column (B))</td>
</tr>
</tbody>
</table>

## Part XII  Financial Statements and Reporting

Check if Schedule O contains a response to any question in this Part XII.

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Accounting method used to prepare the Form 990</td>
<td>□ Cash  ✔ Accrual  □ Other</td>
</tr>
<tr>
<td></td>
<td>IF the organization changed its method of accounting from a prior year or checked “Other,” explain in Schedule O</td>
<td></td>
</tr>
<tr>
<td>2a</td>
<td>Were the organization’s financial statements compiled or reviewed by an independent accountant?</td>
<td>Yes</td>
</tr>
<tr>
<td>2b</td>
<td>Were the organization’s financial statements audited by an independent accountant?</td>
<td>Yes</td>
</tr>
<tr>
<td>c</td>
<td>IF “Yes,” to 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>IF the organization changed either its oversight process or selection process during the tax year, explain in Schedule O</td>
<td></td>
</tr>
<tr>
<td>2c</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>d</td>
<td>IF “Yes” to line 2a or 2b, check a box below to indicate whether the financial statements for the year were issued on a separate basis, consolidated basis, or both</td>
<td></td>
</tr>
<tr>
<td></td>
<td>✔ Separate basis  □ Consolidated basis  □ Both consolidated and separate basis</td>
<td></td>
</tr>
<tr>
<td>3a</td>
<td>As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?</td>
<td>Yes</td>
</tr>
<tr>
<td>3b</td>
<td>IF “Yes,” did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits</td>
<td>Yes</td>
</tr>
</tbody>
</table>
**Public Charity Status and Public Support**

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

**Part I  Reason for Public Charity Status** (All organizations must complete this part.) See instructions

- The organization is not a private foundation because it is (For lines 1 through 11, check only one box)
  1. A church, convention of churches, or association of churches described in section 170(b)(1)(A)(i).
  2. A school described in section 170(b)(1)(A)(ii). (Attach Schedule E)
  3. A hospital or a cooperative hospital service organization described in section 170(b)(1)(A)(iii).
  4. A medical research organization operated in conjunction with a hospital described in section 170(b)(1)(A)(iii). Enter the hospital's name, city, and state
  5. An organization operated for the benefit of a college or university owned or operated by a governmental unit described in section 170(b)(1)(A)(iv). (Complete Part II)
  6. A federal, state, or local government or governmental unit described in section 170(b)(1)(A)(v).
  7. An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in section 170(b)(1)(A)(vi) (Complete Part II)
  8. A community trust described in section 170(b)(1)(A)(vi) (Complete Part II)
  9. An organization that normally receives (1) more than 331/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 331/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975 See section 509(a)(2). (Complete Part III)
  10. An organization organized and operated exclusively to test for public safety See section 509(a)(4).
  11. An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2) See section 509(a)(3). Check the box that describes the type of supporting organization and complete lines 11e through 11h

- By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2)
- If the organization received a written determination from the IRS that it is a Type I, Type II or Type III supporting organization, check this box
- Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?
  (i) a person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the the supported organization?
  (ii) a family member of a person described in (i) above?
  (iii) a 35% controlled entity of a person described in (i) or (ii) above?
- Provide the following information about the supported organization(s)

<table>
<thead>
<tr>
<th>(i) Name of supported organization</th>
<th>(ii) EIN</th>
<th>(iii) Type of organization (described on lines 1-9 above or IRC section (see instructions))</th>
<th>(iv) Is the organization in col (i) listed in your governing document?</th>
<th>(v) Did you notify the organization in col (i) of your support?</th>
<th>(vi) Is the organization in col (i) organized in the U S?</th>
<th>(vii) Amount of support</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

For Paperwork Reduction Act Notice, see the Instructions for Form 990
### Section A. Public Support

<table>
<thead>
<tr>
<th>Calendar year (or fiscal year beginning in)</th>
<th>(a) 2006</th>
<th>(b) 2007</th>
<th>(c) 2008</th>
<th>(d) 2009</th>
<th>(e) 2010</th>
<th>(f) Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Gifts, grants, contributions, and membership fees received (Do not include any &quot;usual grants&quot;)</td>
<td>6,832,682</td>
<td>870,027</td>
<td>9,814,962</td>
<td>11,161,857</td>
<td>12,519,600</td>
<td>41,199,128</td>
</tr>
<tr>
<td>2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 The value of services or facilities furnished by a governmental unit to the organization without charge</td>
<td>1,682,656</td>
<td>1,960,849</td>
<td>1,954,415</td>
<td>1,804,267</td>
<td>1,527,898</td>
<td>8,930,085</td>
</tr>
<tr>
<td><strong>Total. Add lines 1 through 3</strong></td>
<td>8,515,338</td>
<td>2,830,876</td>
<td>11,769,377</td>
<td>12,966,124</td>
<td>14,047,498</td>
<td>50,129,213</td>
</tr>
<tr>
<td>4 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 Public Support. Subtract line 4 from line 5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>50,129,213</td>
</tr>
</tbody>
</table>

### Section B. Total Support

<table>
<thead>
<tr>
<th>Calendar year (or fiscal year beginning in)</th>
<th>(a) 2006</th>
<th>(b) 2007</th>
<th>(c) 2008</th>
<th>(d) 2009</th>
<th>(e) 2010</th>
<th>(f) Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>7 Amounts from line 4</td>
<td>8,515,338</td>
<td>2,830,876</td>
<td>11,769,377</td>
<td>12,966,124</td>
<td>14,047,498</td>
<td>50,129,213</td>
</tr>
<tr>
<td>8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources</td>
<td>2,091,208</td>
<td>1,267,820</td>
<td>1,031,533</td>
<td>1,612,527</td>
<td>1,578,754</td>
<td>7,581,842</td>
</tr>
<tr>
<td>9 Net income from unrelated business activities, whether or not the business is regularly carried on</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10 Other income Do not include gain or loss from the sale of capital assets (Explain in Part IV)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total support (Add lines 7 through 10)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>68,116,894</td>
</tr>
<tr>
<td>11 Gross receipts from related activities, etc (See instructions)</td>
<td>12</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Section C. Computation of Public Support Percentage

<table>
<thead>
<tr>
<th></th>
<th>14 Public Support Percentage for 2010 (line 6 column (f) divided by line 11 column (f))</th>
<th>15 Public Support Percentage for 2009 Schedule A, Part II, line 14</th>
</tr>
</thead>
<tbody>
<tr>
<td>16a 33 1/3% support test—2010. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization</td>
<td></td>
<td></td>
</tr>
<tr>
<td>16b 33 1/3% support test—2009. If the organization did not check the box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization</td>
<td></td>
<td></td>
</tr>
<tr>
<td>17a 10%-facts-and-circumstances test—2010. If the organization did not check a box on line 13, 16a, 16b, and line 14 is 10% or more, and if the organization meets the &quot;facts and circumstances&quot; test, check this box and stop here. Explain in Part IV how the organization meets the &quot;facts and circumstances&quot; test The organization qualifies as a publicly supported organization</td>
<td></td>
<td></td>
</tr>
<tr>
<td>17b 10%-facts-and-circumstances test—2009. If the organization did not check a box on line 13, 16a, 16b, or 17a and line 15 is 10% or more, and if the organization meets the &quot;facts and circumstances&quot; test, check this box and stop here. Explain in Part IV how the organization meets the &quot;facts and circumstances&quot; test The organization qualifies as a publicly supported organization</td>
<td></td>
<td></td>
</tr>
<tr>
<td>18 Private Foundation If the organization did not check a box on line 13, 16a, 16b, 17a or 17b, check this box and see instructions</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Section A. Public Support

<table>
<thead>
<tr>
<th>Calendar Year (or fiscal year beginning in)</th>
<th>(a) 2006</th>
<th>(b) 2007</th>
<th>(c) 2008</th>
<th>(d) 2009</th>
<th>(e) 2010</th>
<th>(f) Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Gifts, grants, contributions, and membership fees received</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Gross receipts from activities that are not an unrelated trade or business under section 513</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Tax revenues levied for the organization's benefit and either paid to or expended on its behalf</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. The value of services or facilities furnished by a governmental unit to the organization without charge</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Total. Add lines 1 through 5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7a. Amounts included on lines 1, 2, and 3 received from disqualified persons</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7b. Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of $5,000 or 1% of the amount on line 13 for the year</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Public Support (Subtract line 7c from line 6)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Section B. Total Support

<table>
<thead>
<tr>
<th>Calendar Year (or fiscal year beginning in)</th>
<th>(a) 2006</th>
<th>(b) 2007</th>
<th>(c) 2008</th>
<th>(d) 2009</th>
<th>(e) 2010</th>
<th>(f) Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>9. Amounts from line 6</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10a. Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10b. Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Add lines 10a and 10b</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12. Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13. Total support (Add lines 9, 10c, 11 and 12)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14. First Five Years If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Section C. Computation of Public Support Percentage

| 15. Public Support Percentage for 2010 (line 8 column (f) divided by line 13 column (f)) | 15 |
| 16. Public support percentage from 2009 Schedule A, Part III, line 15 | 16 |

### Section D. Computation of Investment Income Percentage

| 17. Investment income percentage for 2010 (line 10c column (f) divided by line 13 column (f)) | 17 |
| 18. Investment income percentage from 2009 Schedule A, Part III, line 17 | 18 |
| 19a. 33 1/3% support tests—2010. If the organization did not check the box on line 14, and line 15 is more than 33 1/3% and line 17 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization |          |
| 19b. 33 1/3% support tests—2009. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization |          |
| 20. Private Foundation If the organization did not check a box on line 14, 19a or 19b, check this box and see instructions |          |
Part IV  Supplemental Information. Supplemental Information. Complete this part to provide the explanations required by Part II, line 10; Part II, line 17a or 17b; and Part III, line 12. Also complete this part for any additional information. (See instructions.)
**Supplemental Financial Statements**

Complete if the organization answered "Yes," to Form 990, Part IV, line 6, 7, 8, 9, 10, 11, or 12.

**Part I**

**Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.** Complete if the organization answered "Yes" to Form 990, Part IV, line 6.

<table>
<thead>
<tr>
<th>1</th>
<th>Total number at end of year</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Aggregate contributions to (during year)</td>
</tr>
<tr>
<td>3</td>
<td>Aggregate grants from (during year)</td>
</tr>
<tr>
<td>4</td>
<td>Aggregate value at end of year</td>
</tr>
</tbody>
</table>

Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? [ ] Yes [ ] No

Did the organization inform all grantors, donors, and donor advisors in writing that grant funds may be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? [ ] Yes [ ] No

**Part II**

**Conservation Easements.** Complete if the organization answered "Yes" to Form 990, Part IV, line 7.

**Purpose(s) of conservation easements held by the organization (check all that apply)**
- Preservation of land for public use (e.g., recreation or pleasure)
- Preservation of a historically important land area
- Protection of natural habitat
- Preservation of a certified historic structure
- Preservation of open space

Complete lines 2a–2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

<table>
<thead>
<tr>
<th>Held at the End of the Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>2a</td>
</tr>
<tr>
<td>2b</td>
</tr>
<tr>
<td>2c</td>
</tr>
<tr>
<td>2d</td>
</tr>
</tbody>
</table>

**Part III**

**Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.** Complete if the organization answered "Yes" to Form 990, Part IV, line 8.

If the organization elected, as permitted under SFAS 116, not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education or research in furtherance of public service, provide, in Part XIV, the text of the footnote to its financial statements that describes these items.

If the organization elected, as permitted under SFAS 116, to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenues included in Form 990, Part VIII, line 1

(ii) Assets included in Form 990, Part X

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 relating to these items:

a Revenues included in Form 990, Part VIII, line 1

b Assets included in Form 990, Part X
Part III  Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets (continued)

3  Using the organization’s accession and other records, check any of the following that are a significant use of its collection items (check all that apply)
   a  Public exhibition
   b  Scholarly research
   c  Preservation for future generations
   d  Loan or exchange programs
   e  Other

4  Provide a description of the organization’s collections and explain how they further the organization’s exempt purpose in Part XIV

5  During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization’s collection?
   □  Yes  □  No

Part IV  Escrow and Custodial Arrangements. Complete if the organization answered "Yes" to Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a  Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X?
   □  Yes  □  No

b  If "Yes," explain the arrangement in Part XIV and complete the following table

<table>
<thead>
<tr>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1c</td>
</tr>
<tr>
<td>1d</td>
</tr>
<tr>
<td>1e</td>
</tr>
<tr>
<td>1f</td>
</tr>
</tbody>
</table>

2a  Did the organization include an amount on Form 990, Part X, line 21?
   □  Yes  □  No

b  If "Yes," explain the arrangement in Part XIV

Part V  Endowment Funds. Complete if the organization answered "Yes" to Form 990, Part IV, line 10.

<table>
<thead>
<tr>
<th></th>
<th>(a)Current Year</th>
<th>(b)Prior Year</th>
<th>(c)Two Years Back</th>
<th>(d)Three Years Back</th>
<th>(e)Four Years Back</th>
</tr>
</thead>
<tbody>
<tr>
<td>1a</td>
<td>Beginning of year balance</td>
<td>3,388,364</td>
<td>3,022,200</td>
<td>4,384,184</td>
<td></td>
</tr>
<tr>
<td>1b</td>
<td>Contributions</td>
<td>405,030</td>
<td>501,441</td>
<td>-1,282,325</td>
<td></td>
</tr>
<tr>
<td>1c</td>
<td>Investment earnings or losses</td>
<td>152,354</td>
<td>135,277</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1d</td>
<td>Grants or scholarships</td>
<td>3,460,860</td>
<td>3,388,364</td>
<td>3,022,200</td>
<td></td>
</tr>
</tbody>
</table>

2  Provide the estimated percentage of the year end balance held as
   a  Board designated or quasi-endowment  ▶  11 000 %
   b  Permanent endowment  ◀  93 060 %
   c  Term endowment  ◀

3a  Are there endowment funds not in the possession of the organization that are held and administered for the organization by
   (i) unrelated organizations
   □  Yes  □  No
   (ii) related organizations
   □  Yes  □  No

b  If "Yes" to 3a(ii), are the related organizations listed as required on Schedule R?
   □  Yes  □  No

4  Describe in Part XIV the intended uses of the organization’s endowment funds

Part VI  Investments—Land, Buildings, and Equipment. See Form 990, Part X, line 10.

<table>
<thead>
<tr>
<th>Description of investment</th>
<th>(a) Cost or other basis (investment)</th>
<th>(b) Cost or other basis (other)</th>
<th>(c) Accumulated depreciation</th>
<th>(d) Book value</th>
</tr>
</thead>
<tbody>
<tr>
<td>1a  Land</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1b  Buildings</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1c  Leasehold improvements</td>
<td></td>
<td>5,967,402</td>
<td>2,102,391</td>
<td>3,865,011</td>
</tr>
<tr>
<td>1d  Equipment</td>
<td></td>
<td>4,900,636</td>
<td>3,397,415</td>
<td>1,503,221</td>
</tr>
<tr>
<td>1e  Other</td>
<td></td>
<td>1,000</td>
<td></td>
<td>1,000</td>
</tr>
</tbody>
</table>

Total. Add lines 1a-1e (Column (d) should equal Form 990, Part X, column (B), line 10(c.)  ▶  5,369,232
**Part VII: Investments—Other Securities.** See Form 990, Part X, line 12.

<table>
<thead>
<tr>
<th>Description of security or category</th>
<th>Book value</th>
<th>Method of valuation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial derivatives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Closely-held equity interests</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PRIVATE EQUITIES - LLC'S</td>
<td>9,687,507</td>
<td>F</td>
</tr>
<tr>
<td>EQUITY - LLC'S</td>
<td>18,642,598</td>
<td>F</td>
</tr>
</tbody>
</table>

Total: (Column (b) should equal Form 990, Part X, col (B) line 12) 28,330,105

---

**Part VIII: Investments—Program Related.** See Form 990, Part X, line 13.

<table>
<thead>
<tr>
<th>Description of investment type</th>
<th>Book value</th>
<th>Method of valuation</th>
</tr>
</thead>
</table>

Total: (Column (b) should equal Form 990, Part X, col (B) line 15)

---

**Part IX: Other Assets.** See Form 990, Part X, line 15.

<table>
<thead>
<tr>
<th>Description</th>
<th>Book value</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACCRUED INTEREST AND DIVIDENDS</td>
<td>11,193</td>
</tr>
<tr>
<td>DUE FROM BROKER (SALE OF INVESTMENTS)</td>
<td>7,992,777</td>
</tr>
<tr>
<td>OTHER ASSETS</td>
<td>196,825</td>
</tr>
</tbody>
</table>

Total: (Column (b) should equal Form 990, Part X, col (B) line 15) 8,200,795

---

**Part X: Other Liabilities.** See Form 990, Part X, line 25.

<table>
<thead>
<tr>
<th>Description of Liability</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal Income Taxes</td>
<td></td>
</tr>
<tr>
<td>ACCRUED POST-RETIREMENT BENEFITS</td>
<td>2,476,682</td>
</tr>
<tr>
<td>DUE TO INVENTORS</td>
<td>123,931</td>
</tr>
<tr>
<td>DEFERRED COMPENSATION</td>
<td>766,542</td>
</tr>
<tr>
<td>ACCRUED PENSION PAYABLE</td>
<td>4,452,899</td>
</tr>
</tbody>
</table>

Total: (Column (b) should equal Form 990, Part X, col (B) line 25) 7,820,054

---

2. FIN 48 (ASC 740) Footnote In Part XIV, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC740).
## Part XI  Reconciliation of Change in Net Assets from Form 990 to Financial Statements

1. Total revenue (Form 990, Part VIII, column (A), line 12) ........................................... 1 18,287,200  
2. Total expenses (Form 990, Part IX, column (A), line 25) ........................................... 2 19,262,395  
3. Excess or (deficit) for the year Subtract line 2 from line 1 ........................................... 3 -975,195  
4. Net unrealized gains (losses) on investments ................................................................. 4 4,145,943  
5. Donated services and use of facilities ............................................................................ 5  
6. Investment expenses ..................................................................................................... 6  
7. Prior period adjustments ............................................................................................... 7  
8. Other (Describe in Part XIV) ......................................................................................... 8  
9. Total adjustments (net) Add lines 4 - 8 .................................................................. 9 4,145,943  
10. Excess or (deficit) for the year per financial statements Combine lines 3 and 9 .... 10 3,170,748

## Part XII  Reconciliation of Revenue per Audited Financial Statements With Revenue per Return

1. Total revenue, gains, and other support per audited financial statements ............... 1 23,573,623  
2. Amounts included on line 1 but not on Form 990, Part VIII, line 12 ........................ 2  
   a. Net unrealized gains on investments ...................................................................... 2a 4,184,747  
   b. Donated services and use of facilities ................................................................... 2b 1,527,898  
   c. Recoveries of prior year grants ............................................................................. 2c  
   d. Other (Describe in Part XIV) ............................................................................... 2d 1,291  
   e. Add lines 2a through 2d .................................................................................. 2e 5,713,936  
3. Subtract line 2e from line 1 ..................................................................................... 3 17,859,687  
4. Amounts included on Form 990, Part VIII, line 12, but not on line 1 ................... 4  
   a. Investment expenses not included on Form 990, Part VIII, line 7b ................... 4a 388,709  
   b. Other (Describe in Part XIV) ............................................................................... 4b 38,804  
   c. Add lines 4a and 4b ......................................................................................... 4c 427,513  
5. Total Revenue Add lines 3 and 4c. (This should equal Form 990, Part I, line 12) .... 5 18,287,200

## Part XIII  Reconciliation of Expenses per Audited Financial Statements With Expenses per Return

1. Total expenses and losses per audited financial statements ..................................... 1 19,571,475  
2. Amounts included on line 1 but not on Form 990, Part IX, line 25 .......................... 2  
   a. Donated services and use of facilities .................................................................. 2a 1,527,898  
   b. Prior year adjustments ....................................................................................... 2b  
   c. Other losses ........................................................................................................ 2c  
   d. Other (Describe in Part XIV) ............................................................................... 2d  
   e. Add lines 2a through 2d .................................................................................. 2e 1,527,898  
3. Subtract line 2e from line 1 ..................................................................................... 3 18,043,577  
4. Amounts included on Form 990, Part IX, line 25, but not on line 1 ................... 4b  
   a. Investment expenses not included on Form 990, Part VIII, line 7b ................... 4a 388,709  
   b. Other (Describe in Part XIV) ............................................................................... 4b 830,109  
   c. Add lines 4a and 4b ......................................................................................... 4c 1,218,818  
5. Total expenses Add lines 3 and 4c. (This should equal Form 990, Part I, line 18) .... 5 19,262,395

## Part XIV  Supplemental Information

Complete this part to provide the descriptions required for Part II, lines 3, 5, and 9, Part III, lines 1a and 4, Part IV, lines 1b and 2b, Part V, line 4, Part X, Part XI, line 8, Part XII, lines 2d and 4b, and Part XIII, lines 2d and 4b. Also complete this part to provide any additional information.

<table>
<thead>
<tr>
<th>Identifier</th>
<th>Return Reference</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>DESCRIPTION OF INTENDED USE OF ENDOWMENT FUNDS</td>
<td>PART V, LINE 4</td>
<td>THE INCOME HAS BEEN BOARD DESIGNATED TO SUPPORT A POSITION IN PLANT MOLECULAR BIOLOGY</td>
</tr>
<tr>
<td>DESCRIPTION OF UNCERTAIN TAX POSITIONS UNDER FIN 48</td>
<td>PART X</td>
<td>THE INSTITUTE HAS DETERMINED THAT THERE ARE NO MATERIAL UNCERTAIN TAX POSITIONS THAT REQUIRE RECOGNITION OR DISCLOSURE IN THE FINANCIAL STATEMENTS. TAX RETURNS FOR THE YEARS DECEMBER 31, 2007 AND SUBSEQUENT REMAIN SUBJECT TO EXAMINATION BY APPLICABLE TAXING AUTHORITIES</td>
</tr>
<tr>
<td>PART XII, LINE 2D - OTHER ADJUSTMENTS</td>
<td></td>
<td>LOSS ON DISPOSAL OF FIXED ASSETS 1,291</td>
</tr>
<tr>
<td>PART XII, LINE 4B - OTHER ADJUSTMENTS</td>
<td></td>
<td>MISCELLANEOUS REVENUE 38,804</td>
</tr>
<tr>
<td>PART XIII, LINE 4B - OTHER ADJUSTMENTS</td>
<td></td>
<td>ADJUSTMENT TO REFLECT PENSION FUNDING STATUS 830,109</td>
</tr>
<tr>
<td></td>
<td></td>
<td>THE INCOME HAS BEEN BOARD DESIGNATED TO SUPPORT A POSITION IN PLANT MOLECULAR BIOLOGY</td>
</tr>
</tbody>
</table>
Schedule J
(Form 990)

Compensation Information

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

Complete if the organization answered "Yes" to Form 990, Part IV, question 23.

Attach to Form 990. See separate instructions.

Name of the organization
BOYCE THOMPSON INSTITUTE FOR PLANT RESEARCH INC

Employer identification number
13-1739923

Part I Questions Regarding Compensation

1a Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items

- First-class or charter travel
- Travel for companions
- Tax indemnification and gross-up payments
- Discretionary spending account
- Housing allowance or residence for personal use
- Payments for business use of personal residence
- Health or social club dues or initiation fees
- Personal services (e.g., maid, chauffeur, chef)

1b If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement of all the expenses described above? If "No," complete Part III to explain

1b No

2 Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all officers, directors, trustees, and the CEO/Executive Director, regarding the items checked in line 1a?

2 Yes

3 Indicate which, if any, of the following the organization uses to establish the compensation of the organization's CEO/Executive Director. Check all that apply

- Compensation committee
- Independent compensation consultant
- Form 990 of other organizations
- Written employment contract
- Compensation survey or study
- Approval by the board or compensation committee

4 During the year, did any person listed in Form 990, Part VII, Section A, line 1a with respect to the filing organization or a related organization

4a Receive a severance payment or change-of-control payment from the organization or a related organization?

4a No

4b Participate in, or receive payment from, a supplemental nonqualified retirement plan?

4b No

4c Participate in, or receive payment from, an equity-based compensation arrangement?

4c No

Only 501(c)(3) and 501(c)(4) organizations only must complete lines 5-9.

5 For persons listed in form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of

a The organization?

5a No

b Any related organization?

5b No

If "Yes," to line 5a or 5b, describe in Part III

6 For persons listed in form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of

a The organization?

6a No

b Any related organization?

6b No

If "Yes," to line 6a or 6b, describe in Part III

7 For persons listed in form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III

7 No

8 Were any amounts reported in Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regs section 53.4958-4(a)(3)? If "Yes," describe in Part III

8 No

9 If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?

9
**Part II Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees.** Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported in Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions on row (ii). Do not list any individuals that are not listed on Form 990, Part VII

**Note.** The sum of columns (B)(i)-(iii) must equal the applicable column (D) or column (E) amounts on Form 990, Part VII, line 1a

<table>
<thead>
<tr>
<th>(A) Name</th>
<th>(B) Breakdown of W-2 and/or 1099-MISC compensation</th>
<th>(C) Retirement and other deferred compensation</th>
<th>(D) Nontaxable benefits</th>
<th>(E) Total of columns (B)(i)-(D)</th>
<th>(F) Compensation reported in prior Form 990 or Form 990-EZ</th>
</tr>
</thead>
<tbody>
<tr>
<td>DAVID STERN</td>
<td>(i) 274,486 (ii) 0</td>
<td>(iii) 0</td>
<td>(iv) 0</td>
<td>(v) 31,008 (vi) 0</td>
<td>(vii) 375,183 (viii) 0</td>
</tr>
<tr>
<td>DR ERIC RICHARDS</td>
<td>(i) 213,352 (ii) 0</td>
<td>(iii) 0</td>
<td>(iv) 0</td>
<td>(v) 21,491 (vi) 0</td>
<td>(vii) 248,265 (viii) 0</td>
</tr>
<tr>
<td>DR MARIA HARRISON</td>
<td>(i) 134,139 (ii) 0</td>
<td>(iii) 0</td>
<td>(iv) 0</td>
<td>(v) 9,080 (vi) 0</td>
<td>(vii) 163,842 (viii) 0</td>
</tr>
<tr>
<td>DR DANIEL KLESSIG</td>
<td>(i) 231,686 (ii) 0</td>
<td>(iii) 0</td>
<td>(iv) 0</td>
<td>(v) 0 (vi) 0</td>
<td>(vii) 231,686 (viii) 0</td>
</tr>
<tr>
<td>JOHN DENTES</td>
<td>(i) 224,999 (ii) 0</td>
<td>(iii) 0</td>
<td>(iv) 590 (v)</td>
<td>(vi) 4,744 (vii)</td>
<td>(viii) 232,721</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Part III  Supplemental Information

Complete this part to provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 4c, 5a, 5b, 6a, 6b, 7, and 8. Also complete this part for any additional information.

<table>
<thead>
<tr>
<th>Identifier</th>
<th>Return Reference</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>PART I, LINE 1A</td>
<td>PART 1-1A, FIRST CLASS TRAVEL, $15,406, INCURRED FOR PRESIDENT’S PREMIUM AIR TRAVEL NON TAXABLE PART 1-1B, AS PER EMPLOYMENT AGREEMENT PART 1-1B, PAYMENTS ARE AS PER EMPLOYMENT AGREEMENT</td>
<td></td>
</tr>
</tbody>
</table>
Transactions with Interested Persons

Complete if the organization answered "Yes" on Form 990, Part IV, lines 25a, 25b, 26, 27, 28a, 28b, or 28c, or Form 990-EZ, Part V lines 38a or 40b.

Attach to Form 990 or Form 990-EZ. See separate instructions.

<table>
<thead>
<tr>
<th>Name of the organization</th>
<th>Employer identification number</th>
</tr>
</thead>
<tbody>
<tr>
<td>BOYCE THOMPSON INSTITUTE FOR PLANT RESEARCH INC</td>
<td>13-1739923</td>
</tr>
</tbody>
</table>

**Part I** Excess Benefit Transactions (section 501(c)(3) and section 501 (c)(4) organizations only).

Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b.

<table>
<thead>
<tr>
<th>1</th>
<th>(a) Name of disqualified person</th>
<th>(b) Description of transaction</th>
<th>(c) Corrected?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
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</tbody>
</table>

2. Enter the amount of tax imposed on the organization managers or disqualified persons during the year under section 4958. $ 

3. Enter the amount of tax, if any, on line 2, above, reimbursed by the organization. $ 

**Part II** Loans to and/or From Interested Persons.

Complete if the organization answered "Yes" on Form 990, Part IV, line 26, or Form 990-EZ, Part V, line 38a.

<table>
<thead>
<tr>
<th>(a) Name of interested person and purpose</th>
<th>(b) Loan to or from the organization?</th>
<th>(c) Original principal amount</th>
<th>(d) Balance due</th>
<th>(e) In default?</th>
<th>(f) Approved by board or committee?</th>
<th>(g) Written agreement?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>To From</td>
<td></td>
<td></td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
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</tbody>
</table>

Total $ 

**Part III** Grants or Assistance Benefitting Interested Persons.

Complete if the organization answered "Yes" on Form 990, Part IV, line 27.

<table>
<thead>
<tr>
<th>(a) Name of interested person</th>
<th>(b) Relationship between interested person and the organization</th>
<th>(c) Amount of grant or type of assistance</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
</tr>
</tbody>
</table>
## Part IV  Business Transactions Involving Interested Persons.
Complete if the organization answered "Yes" on Form 990, Part IV, line 28a, 28b, or 28c.

<table>
<thead>
<tr>
<th>(a) Name of interested person</th>
<th>(b) Relationship between interested person and the organization</th>
<th>(c) Amount of transaction</th>
<th>(d) Description of transaction</th>
<th>(e) Sharing of organization's revenues?</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) RALPH WF HARDY</td>
<td>FORMER DIRECTOR</td>
<td>52,000</td>
<td>INDEPENDENT</td>
<td>No</td>
</tr>
</tbody>
</table>

## Part V  Supplemental Information
Complete this part to provide additional information for responses to questions on Schedule L (see instructions).

<table>
<thead>
<tr>
<th>Identifier</th>
<th>Return Reference</th>
<th>Explanation</th>
</tr>
</thead>
</table>

Schedule L (Form 990 or 990-EZ) 2010
## Supplemental Information to Form 990 or 990-EZ

**Name of the organization**
BOYCE THOMPSON INSTITUTE FOR PLANT RESEARCH INC

**Employer identification number**
13-1739923

<table>
<thead>
<tr>
<th>Identifier</th>
<th>Return Reference</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>FORM 990, PART VI, SECTION A, LINE 2</td>
<td>THE BOARD CHAIR, MR. CORNELL, HAD A BUSINESS RELATIONSHIP WITH MR. STERN, BTIS PRESIDENT</td>
<td></td>
</tr>
<tr>
<td>Identifier</td>
<td>Return Reference</td>
<td>Explanation</td>
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</tr>
<tr>
<td>FORM 990, PART VI, SECTION A, LINE 6</td>
<td>THE BOYCE THOMPSON INSTITUTE, INC. IS A NY S MEMBERSHIP CORPORATION</td>
<td></td>
</tr>
<tr>
<td>Identifier</td>
<td>Return Reference</td>
<td>Explanation</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>------------------</td>
<td>---------------------------------------</td>
</tr>
<tr>
<td>FORM 990, PART VI, SECTION A, LINE 7A</td>
<td></td>
<td>MEMBERS ELECT DIRECTORS</td>
</tr>
<tr>
<td>Identifier</td>
<td>Return Reference</td>
<td>Explanation</td>
</tr>
<tr>
<td>------------------------------------------------</td>
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<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>FORM 990, PART VI, SECTION B, LINE 11</td>
<td></td>
<td>NO REVIEW WILL BE CONDUCTED PRIOR TO FILING, HOWEVER, THE BOARD WILL REVIEW THE 990 AFTER IT HAS BEEN FILED</td>
</tr>
<tr>
<td>Identifier</td>
<td>Return Reference</td>
<td>Explanation</td>
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<tr>
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<td>---------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>FORM 990, PART VI, SECTION B, LINE 12C</td>
<td>ANNUAL CERTIFICATIONS ARE PROVIDED BY DIRECTORS AND KEY EMPLOYEES TO THE CORPORATE SECRETARY AND DIRECTOR OF HUMAN RESOURCES. CONFLICTS ARE DISCLOSED TO AND REVIEWED BY THE AUDIT COMMITTEE AND BOARD</td>
<td></td>
</tr>
<tr>
<td>Identifier</td>
<td>Return Reference</td>
<td>Explanation</td>
</tr>
<tr>
<td>------------</td>
<td>-----------------</td>
<td>-------------</td>
</tr>
<tr>
<td>FORM 990, PART VI, SECTION B, LINE 15</td>
<td>THE BOARD COMPENSATION COMMITTEE ESTABLISHES THE SALARIES OF THE PRESIDENT AND THE VICE PRESIDENT, ANNUALLY. COMPARABLE SALARIES AND COST OF LIVING DATA IS PROVIDED BY THE DIRECTOR OF HUMAN RESOURCES. MEETING MINUTES, RECOMMENDATIONS AND SUPPORTING DATA ARE RETAINED BY THE CORPORATE SECRETARY. SALARY REVIEWS ARE PERFORMED ANNUALLY, IN NOVEMBER. THE COMPENSATION COMMITTEE MET IN NOVEMBER 2009 TO REVIEW AND SET THE 2010 COMPENSATION FOR THE PRESIDENT, VICE PRESIDENT, AND CFO/VP FOR FINANCE.</td>
<td></td>
</tr>
<tr>
<td>Identifier</td>
<td>Return Reference</td>
<td>Explanation</td>
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<td>-----------------------------</td>
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<td>------------------------------------------------------------------</td>
</tr>
<tr>
<td>FORM 990, PART VI, SECTION C, LINE 19</td>
<td>DOCUMENTS ARE AVAILABLE ON REQUEST TO THE CORPORATE SECRETARY</td>
<td></td>
</tr>
<tr>
<td>Identifier</td>
<td>Return Reference</td>
<td>Explanation</td>
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<td>------------------------------------------------</td>
<td>-------------------</td>
<td>-----------------------------------------------</td>
</tr>
<tr>
<td>CHANGES IN NET ASSETS OR FUND BALANCES</td>
<td>FORM 990, PART XI, LINE 5</td>
<td>NET UNREALIZED GAINS ON INVESTMENTS 4,145,943</td>
</tr>
<tr>
<td>Identifier</td>
<td>Return Reference</td>
<td>Explanation</td>
</tr>
<tr>
<td>------------</td>
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</tr>
<tr>
<td>FORM 990, PART XI, LINE 2C</td>
<td>THE BTI AUDIT COMMITTEE IS RESPONSIBLE FOR OVERSIGHT OF THE AUDIT. THIS PROCESS HAS NOT CHANGED FROM PRIOR YEARS</td>
<td></td>
</tr>
</tbody>
</table>
**Form 990, Part III - 4 Program Service Accomplishments (See the Instructions)**

<table>
<thead>
<tr>
<th>Code</th>
<th>Expenses $</th>
<th>Including grants of $</th>
<th>Revenue $</th>
</tr>
</thead>
<tbody>
<tr>
<td>RESEARCH TOOLS &amp; COMMUNICATIONS</td>
<td>3,746,464</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Institute scientists advance, communicate, and apply plant research towards the advancement of scientific knowledge virtually every day. Scientists discover and record a staggering amount of new information about the genes, proteins and chemicals that direct the life of cells. They are also continually developing new techniques for laboratory research. BTI scientists are developing innovative software and databases, enabling researchers to better organize, access, and retrieve a wealth of data. Isolate and identify specific genes controlling specific life processes and identify molecules with potential evolutionary, biological and medical importance.