

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

# Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations) Do not enter social security numbers on this form as it may be made public.  
 ▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

OMB No. 1545-0047  
**2019**  
 Open to Public Inspection

**A For the 2019 calendar year, or tax year beginning 10-01-2019, and ending 09-30-2020**

- B** Check if applicable:  
 Address change  
 Name change  
 Initial return  
 Final return/terminated  
 Amended return  
 Application pending

**C** Name of organization  
 INSTITUTE FOR EASTWEST STUDIES INC  
 % ANDREW YU  
 Doing business as  
 EASTWEST INSTITUTE  
 Number and street (or P.O. box if mail is not delivered to street address) Room/suite  
 155 East 44th Street Suite 1105  
 City or town, state or province, country, and ZIP or foreign postal code  
 NEW YORK, NY 10017

**D** Employer identification number  
 13-3091844  
**E** Telephone number  
 (212) 824-4100  
**G** Gross receipts \$ 12,108,619

**F** Name and address of principal officer:  
 BRUCE MCCONNELL  
 155 E 44th Street SUITE 1105  
 NEW YORK, NY 10017

**H(a)** Is this a group return for subordinates?  Yes  No  
**H(b)** Are all subordinates included?  Yes  No  
 If "No," attach a list. (see instructions)  
**H(c)** Group exemption number ▶

**I** Tax-exempt status:  501(c)(3)  501(c) ( ) (insert no.)  4947(a)(1) or  527  
**J** Website: ▶ www.eastwest.ngo

**K** Form of organization:  Corporation  Trust  Association  Other ▶

**L** Year of formation: 1981

**M** State of legal domicile: NY

**Part I Summary**

**1** Briefly describe the organization's mission or most significant activities:  
 EASTWEST INSTITUTE (EWI) WORKS TO REDUCE INTERNATIONAL CONFLICT, ADDRESSING SEEMINGLY INTRACTABLE PROBLEMS THAT THREATEN WORLD SECURITY AND STABILITY. (CONTINUED ON SCHEDULE O)

**2** Check this box  if the organization discontinued its operations or disposed of more than 25% of its net assets.

|  |           |    |
|--|-----------|----|
| <b>3</b> Number of voting members of the governing body (Part VI, line 1a)             | <b>3</b>  | 34 |
| <b>4</b> Number of independent voting members of the governing body (Part VI, line 1b) | <b>4</b>  | 32 |
| <b>5</b> Total number of individuals employed in calendar year 2019 (Part V, line 2a)  | <b>5</b>  | 29 |
| <b>6</b> Total number of volunteers (estimate if necessary)                            | <b>6</b>  | 78 |
| <b>7a</b> Total unrelated business revenue from Part VIII, column (C), line 12         | <b>7a</b> | 0  |
| <b>7b</b> Net unrelated business taxable income from Form 990-T, line 39               | <b>7b</b> | 0  |

|   | Revenue                   |              |
|---|---------------------------|--------------|
|   | Prior Year                | Current Year |
| <b>8</b> Contributions and grants (Part VIII, line 1h)                                      | 5,093,173                 | 2,035,711    |
| <b>9</b> Program service revenue (Part VIII, line 2g)                                       | 0                         | 0            |
| <b>10</b> Investment income (Part VIII, column (A), lines 3, 4, and 7d)                     | 636,274                   | 1,681,037    |
| <b>11</b> Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)          | 300,468                   | 260,494      |
| <b>12</b> Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)  | 6,029,915                 | 3,977,242    |
| Expenses  |                           |              |
| <b>13</b> Grants and similar amounts paid (Part IX, column (A), lines 1-3)                  | 0                         | 0            |
| <b>14</b> Benefits paid to or for members (Part IX, column (A), line 4)                     | 0                         | 0            |
| <b>15</b> Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10) | 4,773,047                 | 4,413,111    |
| <b>16a</b> Professional fundraising fees (Part IX, column (A), line 11e)                    | 0                         | 0            |
| <b>b</b> Total fundraising expenses (Part IX, column (D), line 25) ▶ 383,665                |                           |              |
| <b>17</b> Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)                      | 2,860,173                 | 1,644,078    |
| <b>18</b> Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)         | 7,633,220                 | 6,057,189    |
| <b>19</b> Revenue less expenses. Subtract line 18 from line 12                              | -1,603,305                | -2,079,947   |
| Net Assets or Fund Balances   |                           |              |
|   | Beginning of Current Year | End of Year  |
| <b>20</b> Total assets (Part X, line 16)  | 12,184,620                | 9,008,890    |
| <b>21</b> Total liabilities (Part X, line 26)   | 998,989                   | 8,334,086    |
| <b>22</b> Net assets or fund balances. Subtract line 21 from line 20                        | 11,185,631                | 674,804      |

**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: BRUCE MCCONNELL Interim President  
 Date: 2021-03-04  
 Type or print name and title

**Paid Preparer Use Only**

|  |                      |      |   |                |
|--|----------------------|------|---|----------------|
| Print/Type preparer's name                                 | Preparer's signature | Date | Check <input type="checkbox"/> if self-employed | PTIN P01384178 |
| Firm's name ▶ BDO USA LLP                                  |                      |      | Firm's EIN ▶                                    |                |
| Firm's address ▶ 100 PARK AVENUE<br>NEW YORK, NY 100175001 |                      |      | Phone no. (212) 885-8000                        |                |

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

**Part III Statement of Program Service Accomplishments**

Check if Schedule O contains a response or note to any line in this Part III

**1** Briefly describe the organization's mission:

SEE SCHEDULE O

**2** Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ?  Yes  No

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?  Yes  No

If "Yes," describe these changes on Schedule O.

**4** Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations 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 \$ **1,129,016** including grants of \$ **0**) (Revenue \$ **0**)

Networking & Communications - the organization's networking and communications is an essential link between ideas and policy. The communications department works to disseminate the organization's commentaries, publications and other innovations to policymakers and opinion leaders around the world. It works with new and traditional media channels to ensure that its ideas reach and engage decision makers and help forge collective action for a safer and better world.

**4b** (Code: ) (Expenses \$ **828,121** including grants of \$ **0**) (Revenue \$ **0**)

CYBER SECURITY INITIATIVE - SEE SCHEDULE O

**4c** (Code: ) (Expenses \$ **759,194** including grants of \$ **0**) (Revenue \$ **0**)

ASIA PACIFIC - SEE SCHEDULE O

**4d** Other program services (Describe in Schedule O.)

(Expenses \$ **1,402,955** including grants of \$ **0**) (Revenue \$ **260,494**)

**4e** **Total program service expenses** **4,119,286**

Part IV Checklist of Required Schedules

Table with 3 columns: Question ID, Question Text, and Yes/No columns. Rows include questions 1 through 21, with sub-questions 11a-e and 12a-b. Each row has a corresponding 'Yes' and 'No' checkbox column.

Part IV Checklist of Required Schedules (continued)

Table with 3 columns: Question ID, Question Text, and Yes/No columns. Rows include questions 22 through 38 regarding tax-exempt bond issues, excess benefit transactions, and controlled entities.

Part V Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response or note to any line in this Part V [checked]

Table with 3 columns: Question ID, Question Text, and Yes/No columns. Rows include questions 1a, 1b, and 1c regarding Form 1096, Forms W-2G, and gaming winnings.

Part V Statements Regarding Other IRS Filings and Tax Compliance (continued)

2a 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 . . . . . 2a 29
b If at least one is reported on line 2a, did the organization file all required federal employment tax returns? 2b Yes
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
b If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, 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 Yes
b If "Yes," enter the name of the foreign country: BE, RS
See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts
5a Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . . . . . 5a No
b Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? 5b No
c If "Yes," to line 5a or 5b, did the organization file Form 8886-T? . . . . . 5c
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 as charitable contributions? . . . . . 6a No
b If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? . . . . . 6b
7 Organizations that may receive deductible contributions under section 170(c).
a 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 Yes
b If "Yes," did the organization notify the donor of the value of the goods or services provided? . . . . . 7b Yes
c Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? . . . . . 7c No
d If "Yes," indicate the number of Forms 8282 filed during the year . . . . . 7d
e Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? 7e No
f Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? 7f No
g If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required? . . . . . 7g
h 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. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year? 8
9 Sponsoring organizations maintaining donor advised funds.
a Did the sponsoring organization make any taxable distributions under section 4966? 9a
b Did the sponsoring 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? 12a
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 by the states in which the organization is licensed to issue qualified health plans . . . . . 13b
c Enter the amount of reserves on hand . . . . . 13c
14a Did the organization receive any payments for indoor tanning services during the tax year? . . . . . 14a No
b If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O . . . . . 14b
15 Is the organization subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year? 15 No
16 Is the organization subject to the section 4968 excise tax on net investment income? 16 No
If "Yes," complete Form 4720, Schedule O.

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 or note to any line in this Part VI

Section A. Governing Body and Management

Table with 3 columns: Question, Yes, No. Rows include: 1a Enter the number of voting members... 1b Enter the number of voting members... 2 Did any officer, director, trustee... 3 Did the organization delegate control... 4 Did the organization make any significant changes... 5 Did the organization become aware... 6 Did the organization have members... 7a Did the organization have members... 7b Are any governance decisions... 8 Did the organization contemporaneously document... 8a The governing body? 8b Each committee... 9 Is there any officer, director, trustee...

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

Table with 3 columns: Question, Yes, No. Rows include: 10a Did the organization have local chapters... 10b If "Yes," did the organization have written policies... 11a Has the organization provided a complete copy... 11b Describe in Schedule O the process... 12a Did the organization have a written conflict... 12b Were officers, directors, or trustees... 12c Did the organization regularly and consistently... 13 Did the organization have a written whistleblower... 14 Did the organization have a written document... 15 Did the process for determining compensation... 15a The organization's CEO... 15b Other officers or key employees... 16a Did the organization invest in, contribute... 16b If "Yes," did the organization follow a written...

Section C. Disclosure

Table with 2 columns: Question, Answer. Rows include: 17 List the states with which a copy of this Form 990 is required to be filed. 18 Section 6104 requires an organization to make its Form 1023... 19 Describe in Schedule O whether (and if so, how) the organization made its governing documents... 20 State the name, address, and telephone number of the person who possesses the organization's books and records.

**Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**

Check if Schedule O contains a response or note to any line in this Part VII

**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. 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, or 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.

See instructions for the order in which to list the persons above.

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

| (A)<br>Name and title  | (B)<br>Average hours per week (list any hours for related organizations below dotted line) | (C)<br>Position (do not check more than one box, unless person is both an officer and a director/trustee) |                       |         |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>Estimated amount of other compensation from the organization and related organizations |
|--|--|---|-----------------------|---------|--------------|------------------------------|--------|--|---|---|
|  |  | Individual trustee or director  | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former |  |   |   |
| (1) CAMERON MUNTER THRU 6<br>.....<br>former PRESIDENT AND CEO     | 40.0<br>.....<br>0.0   |   |                       |         |              |                              | X      | 430,265  | 0   | 17,712  |
| (2) BRUCE MCCONNELL<br>.....<br>PRESIDENT AND CEO (EFF. 7/20)      | 40.0<br>.....<br>0.0   | X   |                       | X       |              |                              |        | 354,270  | 0   | 18,730  |
| (3) WILLIAM J PARKER III<br>.....<br>PRESIDENT AND CEO (THRU 7/20) | 40.0<br>.....<br>0.0   |   |                       | X       |              |                              |        | 230,488  | 0   | 14,939  |
| (4) Ingo Dean<br>.....<br>Director, IT                             | 40.0<br>.....<br>0.0   |   |                       |         |              | X                            |        | 169,160  | 0   | 28,222  |
| (5) CONRAD JARZEBOWSKITHR<br>.....<br>VP, COMMUNICATIONS           | 40.0<br>.....<br>0.0   |   |                       | X       |              |                              |        | 158,150  | 0   | 26,989  |
| (6) ANDREW YU<br>.....<br>CONTROLLER                               | 40.0<br>.....<br>0.0   |   |                       |         |              | X                            |        | 140,643  | 0   | 34,957  |
| (7) Daniela Kaisth<br>.....<br>VP, Development                     | 40.0<br>.....<br>0.0   |   |                       | X       |              |                              |        | 141,359  | 0   | 25,513  |
| (8) Oliver Senft<br>.....<br>Director, HR                          | 40.0<br>.....<br>0.0   |   |                       |         |              | X                            |        | 134,366  | 0   | 17,176  |
| (9) CHRISTOPHER BUSH<br>.....<br>DIRECTOR, PROGRAM                 | 40.0<br>.....<br>0.0   |   |                       |         |              | X                            |        | 110,842  | 0   | 22,066  |
| (10) KAWA HASSAN<br>.....<br>VP, PROGRAM                           | 40.0<br>.....<br>0.0   |   |                       | X       |              |                              |        | 106,344  | 0   | 0   |
| (11) WOLFGANG KLAPPER<br>.....<br>VP, REGIONAL SECURITY PROGRAM    | 40.0<br>.....<br>0.0   |   |                       | X       |              |                              |        | 84,238   | 0   | 0   |
| (12) ROSS PEROT JR<br>.....<br>CHAIRMAN                            | 1.0<br>.....<br>0.0  | X   |                       | X       |              |                              |        | 0  | 0   | 0   |
| (13) R WILLIAM IDE III<br>.....<br>COUNSEL/SEC/CHAIR OF EXEC COMM  | 1.0<br>.....<br>0.0  | X   |                       | X       |              |                              |        | 0  | 0   | 0   |
| (14) PETER ALTABEF THRU 9<br>.....<br>BOARD MEMBER                 | 0.25<br>.....<br>0.0   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (15) Tewodros Ashenafi<br>.....<br>BOARD MEMBER                    | 0.25<br>.....<br>0.0   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (16) Mark Joseph Bild<br>.....<br>BOARD MEMBER                     | 0.25<br>.....<br>0.0   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (17) MARY MCINNIS BOIES<br>.....<br>BOARD MEMBER                   | 1.0<br>.....<br>0.0  | X   |                       |         |              |                              |        | 0  | 0   | 0   |

**Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)**

| (A)<br>Name and title  | (B)<br>Average hours per week (list any hours for related organizations below dotted line) | (C)<br>Position (do not check more than one box, unless person is both an officer and a director/trustee) |                       |         |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>Estimated amount of other compensation from the organization and related organizations |
|--|--|---|-----------------------|---------|--------------|------------------------------|--------|--|---|---|
|  |  | Individual trustee or director  | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former |  |   |   |
| (18) Sir Peter Bonfield<br>BOARD MEMBER                        | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (19) MATT BROSS<br>BOARD MEMBER                                | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (20) ROBERT CAMPBELL III<br>BOARD MEMBER                       | 1.0  | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (21) Michael Chertoff THRU<br>BOARD MEMBER                     | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (22) David Cohen<br>BOARD MEMBER                               | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (23) Roger Cohen<br>BOARD MEMBER                               | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (24) JOEL COWAN<br>BOARD MEMBER                                | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (25) ADDISON FISCHER<br>BOARD MEMBER                           | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (26) Olivia Fischer<br>BOARD MEMBER                            | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (27) STEVEN HONIGMAN THRU<br>BOARD MEMBER                      | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (28) John Hurley<br>BOARD MEMBER                               | 1.0  | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (29) RALPH ISHAM<br>BOARD MEMBER                               | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (30) ANURAG JAIN<br>BOARD MEMBER                               | 1.0  | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (31) James L Jones JR<br>BOARD MEMBER                          | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (32) GEORGE KADIFA<br>BOARD MEMBER                             | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (33) HAIFA AL KAYLANI<br>BOARD MEMBER                          | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (34) ZUHAL KURT<br>BOARD MEMBER                                | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (35) GEN RET T MICHAEL<br>BOARD MEMBER (THRU 6/20)             | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (36) KAREN LINEHAN MROZ<br>BOARD MEMBER                        | 1.0  | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (37) FRANCIS NAJAFI THRU 5<br>BOARD MEMBER                     | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (38) TSUNEO NISHIDA<br>BOARD MEMBER                            | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (39) Admiral ret William<br>BOARD MEMBER                       | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (40) Kitty Pilgrim<br>BOARD MEMBER                             | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (41) Sarah Perot<br>BOARD MEMBER                               | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (42) LAURENT M ROUX<br>BOARD MEMBER                            | 1.0  | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (43) IKRAM UL-MAJEED SEHGAL<br>BOARD MEMBER                    | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (44) KANWAL SIBAL<br>BOARD MEMBER                              | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (45) KEVIN TAWHEEL<br>BOARD MEMBER                             | 1.0  | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (46) ALEXANDER VOLOSHIN<br>BOARD MEMBER                        | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (47) Patrick Walsh<br>BOARD MEMBER                             | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (48) ZHOU WENZHONG<br>BOARD MEMBER                             | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| (49) HU YUANDONG<br>BOARD MEMBER                               | 0.25   | X   |                       |         |              |                              |        | 0  | 0   | 0   |
| <b>1b Sub-Total</b>  |  |   |                       |         |              |                              |        |  |   |   |
| <b>c Total from continuation sheets to Part VII, Section A</b> |  |   |                       |         |              |                              |        |  |   |   |
| <b>d Total (add lines 1b and 1c)</b>                           |  |   |                       |         |              |                              |        | 2,060,125  | 0   | 206,304   |

**2** Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **10**

|  | Yes   | No |
|--|-------|----|
| <b>3</b> Did the organization list any <b>former</b> officer, director or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i>  | 3 Yes |    |
| <b>4</b> 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? <i>If "Yes," complete Schedule J for such individual</i> | 4 Yes |    |
| <b>5</b> Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i>                       | 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. Report compensation for the calendar year ending with or within the organization's tax year.

| (A)<br>Name and business address | (B)<br>Description of services | (C)<br>Compensation |
|----------------------------------|--------------------------------|---------------------|
|                                  |                                |                     |
|                                  |                                |                     |
|                                  |                                |                     |
|                                  |                                |                     |

**2** Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization **0**

**Part VIII Statement of Revenue**

Check if Schedule O contains a response or note to any line in this Part VIII

|   |   | (A)<br>Total revenue | (B)<br>Related or<br>exempt<br>function<br>revenue | (C)<br>Unrelated<br>business<br>revenue | (D)<br>Revenue<br>excluded from<br>tax under sections<br>512 - 514 |
|---|---|----------------------|--|---|--|
| <b>Contributions, Gifts, Grants<br/>and Other Similar Amounts</b> | <b>1a</b> Federated campaigns . . .   | <b>1a</b>            |  |   |  |
|   | <b>b</b> Membership dues . . .  | <b>1b</b>            |  |   |  |
|   | <b>c</b> Fundraising events . . .   | <b>1c</b>            | 313,169  |   |  |
|   | <b>d</b> Related organizations  | <b>1d</b>            |  |   |  |
|   | <b>e</b> Government grants (contributions)  | <b>1e</b>            | 155,914  |   |  |
|   | <b>f</b> All other contributions, gifts, grants,<br>and similar amounts not included<br>above | <b>1f</b>            | 1,566,628  |   |  |
|   | <b>g</b> Noncash contributions included in<br>lines 1a - 1f:\$                                | <b>1g</b>            |  |   |  |
| <b>h Total.</b> Add lines 1a-1f . . . . .                         |   | 2,035,711            |  |   |  |

| <b>Program Service Revenue</b>              |  |  | Business Code |  |  |  |
|---|--|--|---------------|--|--|--|
|   |  |  |               |  |  |  |
| <b>2a</b>                                   |  |  |               |  |  |  |
| <b>b</b>                                    |  |  |               |  |  |  |
| <b>c</b>                                    |  |  |               |  |  |  |
| <b>d</b>                                    |  |  |               |  |  |  |
| <b>e</b>                                    |  |  |               |  |  |  |
| <b>f</b> All other program service revenue. |  |  |               |  |  |  |
| <b>g Total.</b> Add lines 2a-2f. . . . .    |  |  | 0             |  |  |  |

|                      |  |   |           |           |  |         |           |
|----------------------|--|---|-----------|-----------|--|---------|-----------|
| <b>Other Revenue</b> | <b>3</b> Investment income (including dividends, interest, and other similar amounts)  |   | 170,133   |           |  | 170,133 |           |
|                      | <b>4</b> Income from investment of tax-exempt bond proceeds  |   | 0         |           |  |         |           |
|                      | <b>5</b> Royalties . . . . .   |   | 0         |           |  |         |           |
|                      | <b>6a</b> Gross rents  | (i) Real  |           |           |  |         |           |
|                      |  | (ii) Personal   |           |           |  |         |           |
|                      |  | <b>6c</b> Net rental income or (loss)                           | 0         | 0         |  |         | 0         |
|                      | <b>7a</b> Gross amount from sales of assets other than inventory   | (i) Securities  | 9,570,450 |           |  |         |           |
|                      |  | (ii) Other  |           |           |  |         |           |
|                      |  | <b>7c</b> Net gain or (loss)                                    | 1,510,904 | 1,510,904 |  |         | 1,510,904 |
|                      | <b>8a</b> Gross income from fundraising events (not including \$ 313,169 of contributions reported on line 1c). See Part IV, line 18 . . . . . |   |           | 71,831    |  |         |           |
|                      |  | <b>8b</b> Less: direct expenses                                 |           | 71,831    |  |         |           |
|                      |  | <b>c</b> Net income or (loss) from fundraising events . . . . . |           |           |  |         |           |
|                      | <b>9a</b> Gross income from gaming activities. See Part IV, line 19 . . . . .  |   |           | 0         |  |         |           |
|                      |  | <b>9b</b> Less: direct expenses                                 |           | 0         |  |         |           |
|                      |  | <b>c</b> Net income or (loss) from gaming activities . . . . .  |           | 0         |  |         |           |

|  |               |           |         |  |           |
|--|---------------|-----------|---------|--|-----------|
| <b>10a</b> Gross sales of inventory, less returns and allowances . . . | <b>10a</b>    | 0         |         |  |           |
| <b>b</b> Less: cost of goods sold                                      | <b>10b</b>    | 0         |         |  |           |
| <b>c</b> Net income or (loss) from sales of inventory . . .            |               |           | 0       |  |           |
| Miscellaneous Revenue  | Business Code |           |         |  |           |
| <b>11a</b> PAYROLL EXPENSE REIMBURSEMENT                               | 900099        | 209,651   | 209,651 |  |           |
| <b>b</b> ADMINISTRATIVE FEES   | 900099        | 50,000    | 50,000  |  |           |
| <b>c</b> MISCELLANEOUS   | 900099        | 843       | 843     |  |           |
| <b>d</b> All other revenue . . . . .                                   |               |           |         |  |           |
| <b>e Total.</b> Add lines 11a-11d . . . . . ▶                          |               | 260,494   |         |  |           |
| <b>12 Total revenue.</b> See instructions . . . . . ▶                  |               | 3,977,242 | 260,494 |  | 1,681,037 |

**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).  
 Check if Schedule O contains a response or note to any line in this Part IX

| <b>Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.</b>   | <b>(A)</b><br>Total expenses | <b>(B)</b><br>Program service expenses | <b>(C)</b><br>Management and general expenses | <b>(D)</b><br>Fundraising expenses |
|---|------------------------------|--|---|------------------------------------|
| <b>1</b> Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21   | 0                            |  |   |                                    |
| <b>2</b> Grants and other assistance to domestic individuals. See Part IV, line 22  | 0                            |  |   |                                    |
| <b>3</b> Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16.  | 0                            |  |   |                                    |
| <b>4</b> Benefits paid to or for members  | 0                            |  |   |                                    |
| <b>5</b> Compensation of current officers, directors, trustees, and key employees   | 1,124,538                    | 787,957                                | 255,969                                       | 80,612                             |
| <b>6</b> Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)  | 55,608                       | 55,608                                 |   |                                    |
| <b>7</b> Other salaries and wages   | 2,312,849                    | 1,603,956                              | 539,111                                       | 169,782                            |
| <b>8</b> Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)   | 126,848                      | 88,882                                 | 28,873  | 9,093                              |
| <b>9</b> Other employee benefits  | 488,968                      | 342,617                                | 111,300                                       | 35,051                             |
| <b>10</b> Payroll taxes   | 304,300                      | 213,221                                | 69,265  | 21,814                             |
| <b>11</b> Fees for services (non-employees):  |                              |  |   |                                    |
| <b>a</b> Management   | 0                            |  |   |                                    |
| <b>b</b> Legal  | 142,447                      | 70,384                                 | 72,063  |                                    |
| <b>c</b> Accounting   | 127,220                      | 108,357                                | 18,863  |                                    |
| <b>d</b> Lobbying   | 0                            |  |   |                                    |
| <b>e</b> Professional fundraising services. See Part IV, line 17  | 0                            |  |   |                                    |
| <b>f</b> Investment management fees   | 51,615                       |  | 51,615  |                                    |
| <b>g</b> Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O)   | 0                            |  |   |                                    |
| <b>12</b> Advertising and promotion   | 642                          | 314                                    | 310   | 18                                 |
| <b>13</b> Office expenses   | 169,895                      | 78,673                                 | 80,891  | 10,331                             |
| <b>14</b> Information technology  | 75,857                       | 24,178                                 | 48,802  | 2,877                              |
| <b>15</b> Royalties   | 0                            |  |   |                                    |
| <b>16</b> Occupancy   | 402,447                      | 203,528                                | 158,423                                       | 40,496                             |
| <b>17</b> Travel  | 273,415                      | 245,057                                | 26,742  | 1,616                              |
| <b>18</b> Payments of travel or entertainment expenses for any federal, state, or local public officials  | 0                            |  |   |                                    |
| <b>19</b> Conferences, conventions, and meetings  | 159,021                      | 142,101                                | 15,957  | 963                                |
| <b>20</b> Interest  | 0                            |  |   |                                    |
| <b>21</b> Payments to affiliates  | 0                            |  |   |                                    |
| <b>22</b> Depreciation, depletion, and amortization   | 109,405                      | 76,287                                 | 26,369  | 6,749                              |
| <b>23</b> Insurance   | 47,873                       | 44,062                                 | 3,035   | 776                                |
| <b>24</b> Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)                                       |                              |  |   |                                    |
| <b>a</b> EQUIPMENT/REPAIR/MAINTENANCE   | 32,692                       | 10,420                                 | 21,032  | 1,240                              |
| <b>b</b> DUES & SUBSCRIPTIONS   | 25,107                       | 12,299                                 | 12,110  | 698                                |
| <b>c</b> OTHER STAFF-RELATED COSTS  | 19,361                       | 9,484                                  | 9,339   | 538                                |
| <b>d</b> MISCELLANEOUS  | 7,081                        | 1,901                                  | 4,169   | 1,011                              |
| <b>e</b> All other expenses   |                              |  |   |                                    |
| <b>25</b> Total functional expenses. Add lines 1 through 24e  | 6,057,189                    | 4,119,286                              | 1,554,238                                     | 383,665                            |
| <b>26</b> Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720). |                              |  |   |                                    |

**Part X Balance Sheet**

Check if Schedule O contains a response or note to any line in this Part IX

|   |  | (A)                  |           | (B)                |
|---|--|----------------------|-----------|--------------------|
|   |  | Beginning of year    |           | End of year        |
| <b>Assets</b>   | <b>1</b> Cash-non-interest-bearing . . . . .   | 281,448              | <b>1</b>  | 4,607,571          |
|   | <b>2</b> Savings and temporary cash investments  | 680,388              | <b>2</b>  | 1,121,531          |
|   | <b>3</b> Pledges and grants receivable, net . . . . .  | 1,533,007            | <b>3</b>  | 70,920             |
|   | <b>4</b> Accounts receivable, net . . . . .  | 0                    | <b>4</b>  | 0                  |
|   | <b>5</b> Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons  | 0                    | <b>5</b>  | 0                  |
|   | <b>6</b> Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B)   | 0                    | <b>6</b>  | 0                  |
|   | <b>7</b> Notes and loans receivable, net . . . . .   | 0                    | <b>7</b>  | 0                  |
|   | <b>8</b> Inventories for sale or use . . . . .   | 0                    | <b>8</b>  | 0                  |
|   | <b>9</b> Prepaid expenses and deferred charges . . . . .   | 201,400              | <b>9</b>  | 114,646            |
|   | <b>10a</b> Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D   | <b>10a</b> 1,145,985 |           |                    |
|   | <b>b</b> Less: accumulated depreciation  | <b>10b</b> 759,508   | 483,245   | <b>10c</b> 386,477 |
|   | <b>11</b> Investments—publicly traded securities . . . . .   | 8,983,234            | <b>11</b> | 2,691,245          |
|   | <b>12</b> Investments—other securities. See Part IV, line 11 . . . . .   | 0                    | <b>12</b> | 0                  |
|   | <b>13</b> Investments—program-related. See Part IV, line 11 . . . . .  | 0                    | <b>13</b> | 0                  |
|   | <b>14</b> Intangible assets . . . . .  | 0                    | <b>14</b> | 0                  |
|   | <b>15</b> Other assets. See Part IV, line 11   | 21,898               | <b>15</b> | 16,500             |
| <b>16 Total assets:</b> Add lines 1 through 15 (must equal line 34) . . . . . | 12,184,620   | <b>16</b>            | 9,008,890 |                    |
| <b>Liabilities</b>  | <b>17</b> Accounts payable and accrued expenses . . . . .  | 407,362              | <b>17</b> | 317,993            |
|   | <b>18</b> Grants payable . . . . .   | 0                    | <b>18</b> | 0                  |
|   | <b>19</b> Deferred revenue . . . . .   | 218,500              | <b>19</b> | 879,163            |
|   | <b>20</b> Tax-exempt bond liabilities . . . . .  | 0                    | <b>20</b> | 0                  |
|   | <b>21</b> Escrow or custodial account liability. Complete Part IV of Schedule D  | 0                    | <b>21</b> | 0                  |
|   | <b>22</b> Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons | 0                    | <b>22</b> | 0                  |
|   | <b>23</b> Secured mortgages and notes payable to unrelated third parties . . . . .   | 0                    | <b>23</b> | 0                  |
|   | <b>24</b> Unsecured notes and loans payable to unrelated third parties . . . . .   | 0                    | <b>24</b> | 0                  |
|   | <b>25</b> Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17 - 24). Complete Part X of Schedule D                                    | 373,127              | <b>25</b> | 7,136,930          |
|   | <b>26 Total liabilities.</b> Add lines 17 through 25 . . . . .   | 998,989              | <b>26</b> | 8,334,086          |
| <b>Net Assets or Fund Balances</b>  | <b>Organizations that follow FASB ASC 958, check here <input checked="" type="checkbox"/> and complete lines 27, 28, 32, and 33.</b>   |                      |           |                    |
|   | <b>27</b> Net assets without donor restrictions . . . . .  | 3,228,242            | <b>27</b> | -5,549,717         |
|   | <b>28</b> Net assets with donor restrictions   | 7,957,389            | <b>28</b> | 6,224,521          |
|   | <b>Organizations that do not follow FASB ASC 958, check here <input type="checkbox"/> and complete lines 29 through 33.</b>  |                      |           |                    |
|   | <b>29</b> Capital stock or trust principal, or current funds . . . . .   |                      | <b>29</b> |                    |
|   | <b>30</b> Paid-in or capital surplus, or land, building or equipment fund . . . . .  |                      | <b>30</b> |                    |
|   | <b>31</b> Retained earnings, endowment, accumulated income, or other funds   |                      | <b>31</b> |                    |
|   | <b>32</b> Total net assets or fund balances  | 11,185,631           | <b>32</b> | 674,804            |
| <b>33</b> Total liabilities and net assets/fund balances                      | 12,184,620   | <b>33</b>            | 9,008,890 |                    |

**Part XI Reconciliation of Net Assets**

Check if Schedule O contains a response or note to any line in this Part XI

|           |  |           |            |
|-----------|--|-----------|------------|
| <b>1</b>  | Total revenue (must equal Part VIII, column (A), line 12)  | <b>1</b>  | 3,977,242  |
| <b>2</b>  | Total expenses (must equal Part IX, column (A), line 25)   | <b>2</b>  | 6,057,189  |
| <b>3</b>  | Revenue less expenses. Subtract line 2 from line 1   | <b>3</b>  | -2,079,947 |
| <b>4</b>  | Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))                      | <b>4</b>  | 11,185,631 |
| <b>5</b>  | Net unrealized gains (losses) on investments   | <b>5</b>  | -1,296,924 |
| <b>6</b>  | Donated services and use of facilities   | <b>6</b>  |            |
| <b>7</b>  | Investment expenses  | <b>7</b>  |            |
| <b>8</b>  | Prior period adjustments   | <b>8</b>  |            |
| <b>9</b>  | Other changes in net assets or fund balances (explain in Schedule O)   | <b>9</b>  | -7,133,956 |
| <b>10</b> | Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (A)) | <b>10</b> | 674,804    |

**Part XII Financial Statements and Reporting**

Check if Schedule O contains a response or note to any line in this Part XII

|           |   | Yes | No |
|-----------|---|-----|----|
| <b>1</b>  | Accounting method used to prepare the Form 990: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____<br>If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.   |     |    |
| <b>2a</b> | Were the organization's financial statements compiled or reviewed by an independent accountant?<br>If 'Yes,' check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both:<br><input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis |     | No |
| <b>2b</b> | Were the organization's financial statements audited by an independent accountant?<br>If 'Yes,' check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both:<br><input checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis                | Yes |    |
| <b>2c</b> | If "Yes," to line 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?<br>If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.  | Yes |    |
| <b>3a</b> | 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?  |     | No |
| <b>3b</b> | 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.   |     |    |

**Additional Data**

**Return to Form**

**Software ID:**

**Software Version:**

**Form 990, Special Condition Description:**

**Special Condition Description**

**SCHEDULE A**  
(Form 990 or 990EZ)

Department of the Treasury  
Internal Revenue Service

**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.  
 Attach to Form 990 or Form 990-EZ.  
 Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

OMB No. 1545-0047

**2019**

**Open to Public Inspection**

**Name of the organization**  
INSTITUTE FOR EASTWEST STUDIES INC

**Employer identification number**  
13-3091844

**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 12, 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 (Form 990 or 990-EZ).)
- 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 agricultural research organization described in **170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land grant college of agriculture. See instructions. Enter the name, city, and state of the college or university:
- 10  An organization that normally receives: (1) more than 33 1/3% 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 33 1/3% 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.)
- 11  An organization organized and operated exclusively to test for public safety. See **section 509(a)(4)**.
- 12  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 in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
  - a  **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
  - b  **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
  - c  **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
  - d  **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
  - e  Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.
  - f Enter the number of supported organizations . . . . . \_\_\_\_\_
  - g Provide the following information about the supported organization(s).

| (i) Name of supported organization | (ii) EIN | (iii) Type of organization (described on lines 1- 10 above (see instructions)) | (iv) Is the organization listed in your governing document? |    | (v) Amount of monetary support (see instructions) | (vi) Amount of other support (see instructions) |
|------------------------------------|----------|--|---|----|---|---|
|                                    |          |  | Yes   | No |   |   |
|                                    |          |  |   |    |   |   |
|                                    |          |  |   |    |   |   |
| <b>Total</b>                       |          |  |   |    |   |   |

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)
(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization failed to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Table with 7 columns: (a) 2015, (b) 2016, (c) 2017, (d) 2018, (e) 2019, (f) Total. Rows include: 1 Gifts, grants, contributions, and membership fees received; 2 Tax revenues levied for the organization's benefit; 3 Value of services or facilities furnished; 4 Total; 5 Portion of total contributions exceeding 2%; 6 Public support.

Section B. Total Support

Table with 7 columns: (a) 2015, (b) 2016, (c) 2017, (d) 2018, (e) 2019, (f) Total. Rows include: 7 Amounts from line 4; 8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources; 9 Net income from unrelated business activities; 10 Other income; 11 Total support.

12 Gross receipts from related activities, etc. (see instructions)
13 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

Section C. Computation of Public Support Percentage

Table with 2 columns: Line number, Percentage. Rows: 14 Public support percentage for 2019 (73.372%), 15 Public support percentage for 2018 Schedule A, Part II, line 14 (67.081%)

16a 33 1/3% support test—2019. 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.
b 33 1/3% support test—2018. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here.
17a 10%-facts-and-circumstances test—2019. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here.
b 10%-facts-and-circumstances test—2018. 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 "facts-and-circumstances" test, check this box and stop here.
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.

**Part III Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

**Section A. Public Support**

| Calendar year<br>(or fiscal year beginning in) ▶  | (a) 2015 | (b) 2016 | (c) 2017 | (d) 2018 | (e) 2019 | (f) Total |
|---|----------|----------|----------|----------|----------|-----------|
| <b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .   |          |          |          |          |          |           |
| <b>2</b> 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 |          |          |          |          |          |           |
| <b>3</b> Gross receipts from activities that are not an unrelated trade or business under section 513 . . . . .   |          |          |          |          |          |           |
| <b>4</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . .  |          |          |          |          |          |           |
| <b>5</b> The value of services or facilities furnished by a governmental unit to the organization without charge  |          |          |          |          |          |           |
| <b>6 Total.</b> Add lines 1 through 5   |          |          |          |          |          |           |
| <b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons  |          |          |          |          |          |           |
| <b>b</b> 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.          |          |          |          |          |          |           |
| <b>c</b> Add lines 7a and 7b. .   |          |          |          |          |          |           |
| <b>8 Public support.</b> (Subtract line 7c from line 6.)  |          |          |          |          |          |           |

**Section B. Total Support**

| Calendar year<br>(or fiscal year beginning in) ▶   | (a) 2015 | (b) 2016 | (c) 2017 | (d) 2018 | (e) 2019 | (f) Total |
|--|----------|----------|----------|----------|----------|-----------|
| <b>9</b> Amounts from line 6. . . . .  |          |          |          |          |          |           |
| <b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . . . .  |          |          |          |          |          |           |
| <b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975.  |          |          |          |          |          |           |
| <b>c</b> Add lines 10a and 10b.  |          |          |          |          |          |           |
| <b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on.   |          |          |          |          |          |           |
| <b>12</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . . . . .  |          |          |          |          |          |           |
| <b>13 Total support.</b> (Add lines 9, 10c, 11, and 12.) . . . . .   |          |          |          |          |          |           |
| <b>14 First five years.</b> 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 <b>stop here.</b> . . . . . <input type="checkbox"/> |          |          |          |          |          |           |

**Section C. Computation of Public Support Percentage**

|  |           |  |
|--|-----------|--|
| <b>15</b> Public support percentage for 2019 (line 8, column (f) divided by line 13, column (f)) . . . . . | <b>15</b> |  |
| <b>16</b> Public support percentage from 2018 Schedule A, Part III, line 15 . . . . .                      | <b>16</b> |  |

**Section D. Computation of Investment Income Percentage**

|   |           |  |
|---|-----------|--|
| <b>17</b> Investment income percentage for <b>2019</b> (line 10c, column (f) divided by line 13, column (f)) . . . . .  | <b>17</b> |  |
| <b>18</b> Investment income percentage from <b>2018</b> Schedule A, Part III, line 17 . . . . .   | <b>18</b> |  |
| <b>19a 33 1/3% support tests—2019.</b> 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 <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . <input type="checkbox"/>        |           |  |
| <b>b 33 1/3% support tests—2018.</b> 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 <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . <input type="checkbox"/> |           |  |
| <b>20 Private foundation.</b> If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions . . . . . <input type="checkbox"/>   |           |  |

**Part IV Supporting Organizations**

(Complete only if you checked a box on line 12 of Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

**Section A. All Supporting Organizations**

|            |   | Yes | No |
|------------|---|-----|----|
| <b>1</b>   | Are all of the organization's supported organizations listed by name in the organization's governing documents? If "No," describe in <b>Part VI</b> how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.  |     |    |
| <b>2</b>   | Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? If "Yes," explain in <b>Part VI</b> how the organization determined that the supported organization was described in section 509(a)(1) or (2).   |     |    |
| <b>3a</b>  | Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? If "Yes," answer (b) and (c) below.   |     |    |
| <b>b</b>   | Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? If "Yes," describe in <b>Part VI</b> when and how the organization made the determination.   |     |    |
| <b>c</b>   | Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? If "Yes," explain in <b>Part VI</b> what controls the organization put in place to ensure such use.  |     |    |
| <b>4a</b>  | Was any supported organization not organized in the United States ("foreign supported organization")? If "Yes" and if you checked 12a or 12b in Part I, answer (b) and (c) below.   |     |    |
| <b>b</b>   | Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? If "Yes," describe in <b>Part VI</b> how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.  |     |    |
| <b>c</b>   | Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? If "Yes," explain in <b>Part VI</b> what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.   |     |    |
| <b>5a</b>  | Did the organization add, substitute, or remove any supported organizations during the tax year? If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in <b>Part VI</b> , including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document). |     |    |
| <b>b</b>   | <b>Type I or Type II only.</b> Was any added or substituted supported organization part of a class already designated in the organization's organizing document?  |     |    |
| <b>c</b>   | <b>Substitutions only.</b> Was the substitution the result of an event beyond the organization's control?   |     |    |
| <b>6</b>   | Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? If "Yes," provide detail in <b>Part VI</b> .   |     |    |
| <b>7</b>   | Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).  |     |    |
| <b>8</b>   | Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).   |     |    |
| <b>9a</b>  | Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? If "Yes," provide detail in <b>Part VI</b> .  |     |    |
| <b>b</b>   | Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? If "Yes," provide detail in <b>Part VI</b> .   |     |    |
| <b>c</b>   | Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? If "Yes," provide detail in <b>Part VI</b> .  |     |    |
| <b>10a</b> | Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? If "Yes," answer line 10b below.   |     |    |
| <b>b</b>   | Did the organization have any excess business holdings in the tax year? (Use Schedule C, Form 4720, to determine whether the organization had excess business holdings).  |     |    |

**Part IV Supporting Organizations** (continued)

|  | Yes | No |
|--|-----|----|
| <b>11</b> Has the organization accepted a gift or contribution from any of the following persons?  |     |    |
| <b>a</b> A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization? |     |    |
| <b>b</b> A family member of a person described in (a) above?   |     |    |
| <b>c</b> A 35% controlled entity of a person described in (a) or (b) above? <i>If "Yes" to a, b, or c, provide detail in Part VI.</i>  |     |    |

**Section B. Type I Supporting Organizations**

|   | Yes | No |
|---|-----|----|
| <b>1</b> Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? <i>If "No," describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.</i> |     |    |
| <b>2</b> Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? <i>If "Yes," explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised or controlled the supporting organization.</i>  |     |    |

**Section C. Type II Supporting Organizations**

|  | Yes | No |
|--|-----|----|
| <b>1</b> Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? <i>If "No," describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).</i> |     |    |

**Section D. All Type III Supporting Organizations**

|   | Yes | No |
|---|-----|----|
| <b>1</b> Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided? |     |    |
| <b>2</b> Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? <i>If "No," explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).</i>   |     |    |
| <b>3</b> By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? <i>If "Yes," describe in Part VI the role the organization's supported organizations played in this regard.</i>  |     |    |

**Section E. Type III Functionally-Integrated Supporting Organizations**

|   |  |  |
|---|--|--|
| <b>1</b> Check the box next to the method that the organization used to satisfy the Integral Part Test during the year ( <b>see instructions</b> ):   |  |  |
| <b>a</b> <input type="checkbox"/> The organization satisfied the Activities Test. Complete <b>line 2</b> below.   |  |  |
| <b>b</b> <input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete <b>line 3</b> below.  |  |  |
| <b>c</b> <input type="checkbox"/> The organization supported a governmental entity. Describe in <b>Part VI</b> how you supported a government entity (see instructions)   |  |  |
| <b>2</b> Activities Test. <b>Answer (a) and (b) below.</b>  |  |  |
| <b>a</b> Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? <i>If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.</i> |  |  |
| <b>b</b> Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? <i>If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.</i>  |  |  |
| <b>3</b> Parent of Supported Organizations. <b>Answer (a) and (b) below.</b>  |  |  |
| <b>a</b> Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? <i>Provide details in Part VI.</i>  |  |  |
| <b>b</b> Did the organization exercise a substantial degree of direction over the policies, programs and activities of each of its supported organizations? <i>If "Yes," describe in Part VI the role played by the organization in this regard.</i>  |  |  |

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations**

- 1**  Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI). **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

**Section A - Adjusted Net Income**

(A) Prior Year

(B) Current Year  
(optional)

- |   |          |  |  |
|---|----------|--|--|
| <b>1</b> Net short-term capital gain  | <b>1</b> |  |  |
| <b>2</b> Recoveries of prior-year distributions   | <b>2</b> |  |  |
| <b>3</b> Other gross income (see instructions)  | <b>3</b> |  |  |
| <b>4</b> Add lines 1 through 3  | <b>4</b> |  |  |
| <b>5</b> Depreciation and depletion   | <b>5</b> |  |  |
| <b>6</b> Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions) | <b>6</b> |  |  |
| <b>7</b> Other expenses (see instructions)  | <b>7</b> |  |  |
| <b>8 Adjusted Net Income</b> (subtract lines 5, 6 and 7 from line 4)  | <b>8</b> |  |  |

**Section B - Minimum Asset Amount**

(A) Prior Year

(B) Current Year  
(optional)

- |  |           |  |  |
|--|-----------|--|--|
| <b>1</b> Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year): | <b>1</b>  |  |  |
| <b>a</b> Average monthly value of securities   | <b>1a</b> |  |  |
| <b>b</b> Average monthly cash balances   | <b>1b</b> |  |  |
| <b>c</b> Fair market value of other non-exempt-use assets  | <b>1c</b> |  |  |
| <b>d Total</b> (add lines 1a, 1b, and 1c)  | <b>1d</b> |  |  |
| <b>e Discount</b> claimed for blockage or other factors (explain in detail in Part VI):  |           |  |  |
| <b>2</b> Acquisition indebtedness applicable to non-exempt use assets  | <b>2</b>  |  |  |
| <b>3</b> Subtract line 2 from line 1d  | <b>3</b>  |  |  |
| <b>4</b> Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions).                                 | <b>4</b>  |  |  |
| <b>5</b> Net value of non-exempt-use assets (subtract line 4 from line 3)  | <b>5</b>  |  |  |
| <b>6</b> Multiply line 5 by .035   | <b>6</b>  |  |  |
| <b>7</b> Recoveries of prior-year distributions  | <b>7</b>  |  |  |
| <b>8 Minimum Asset Amount</b> (add line 7 to line 6)   | <b>8</b>  |  |  |

**Section C - Distributable Amount**

Current Year

- |  |          |  |  |
|--|----------|--|--|
| <b>1</b> Adjusted net income for prior year (from Section A, line 8, Column A)   | <b>1</b> |  |  |
| <b>2</b> Enter 85% of line 1   | <b>2</b> |  |  |
| <b>3</b> Minimum asset amount for prior year (from Section B, line 8, Column A)  | <b>3</b> |  |  |
| <b>4</b> Enter greater of line 2 or line 3   | <b>4</b> |  |  |
| <b>5</b> Income tax imposed in prior year  | <b>5</b> |  |  |
| <b>6 Distributable Amount.</b> Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions) | <b>6</b> |  |  |

- 7**  Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions)

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations**

(continued)

| Section D - Distributions  | Current Year |
|--|--------------|
| <b>1</b> Amounts paid to supported organizations to accomplish exempt purposes   |              |
| <b>2</b> Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity             |              |
| <b>3</b> Administrative expenses paid to accomplish exempt purposes of supported organizations   |              |
| <b>4</b> Amounts paid to acquire exempt-use assets   |              |
| <b>5</b> Qualified set-aside amounts (prior IRS approval required)   |              |
| <b>6</b> Other distributions (describe in <b>Part VI</b> ). See instructions   |              |
| <b>7 Total annual distributions.</b> Add lines 1 through 6.  |              |
| <b>8</b> Distributions to attentive supported organizations to which the organization is responsive (provide details in <b>Part VI</b> ). See instructions |              |
| <b>9</b> Distributable amount for 2019 from Section C, line 6  |              |
| <b>10</b> Line 8 amount divided by Line 9 amount   |              |

| Section E - Distribution Allocations<br>(see instructions)   | (i)<br>Excess Distributions | (ii)<br>Underdistributions<br>Pre-2019 | (iii)<br>Distributable<br>Amount for 2019 |
|--|-----------------------------|--|---|
| <b>1</b> Distributable amount for 2019 from Section C, line 6  |                             |  |   |
| <b>2</b> Underdistributions, if any, for years prior to 2019 (reasonable cause required-- explain in <b>Part VI</b> ).<br>See instructions.  |                             |  |   |
| <b>3</b> Excess distributions carryover, if any, to 2019:  |                             |  |   |
| <b>a</b> From 2014. . . . .  |                             |  |   |
| <b>b</b> From 2015. . . . .  |                             |  |   |
| <b>c</b> From 2016. . . . .  |                             |  |   |
| <b>d</b> From 2017. . . . .  |                             |  |   |
| <b>e</b> From 2018. . . . .  |                             |  |   |
| <b>f Total</b> of lines 3a through e   |                             |  |   |
| <b>g</b> Applied to underdistributions of prior years  |                             |  |   |
| <b>h</b> Applied to 2019 distributable amount  |                             |  |   |
| <b>i</b> Carryover from 2014 not applied (see instructions)  |                             |  |   |
| <b>j</b> Remainder. Subtract lines 3g, 3h, and 3i from 3f.   |                             |  |   |
| <b>4</b> Distributions for 2019 from Section D, line 7:<br>\$  |                             |  |   |
| <b>a</b> Applied to underdistributions of prior years  |                             |  |   |
| <b>b</b> Applied to 2019 distributable amount  |                             |  |   |
| <b>c</b> Remainder. Subtract lines 4a and 4b from 4.   |                             |  |   |
| <b>5</b> Remaining underdistributions for years prior to 2019, if any. Subtract lines 3g and 4a from line 2.<br>If the amount is greater than zero, explain in <b>Part VI</b> .<br>See instructions. |                             |  |   |
| <b>6</b> Remaining underdistributions for 2019. Subtract lines 3h and 4b from line 1. If the amount is greater than zero, explain in <b>Part VI</b> . See instructions.                              |                             |  |   |
| <b>7 Excess distributions carryover to 2020.</b> Add lines 3j and 4c.  |                             |  |   |
| <b>8</b> Breakdown of line 7:  |                             |  |   |
| <b>a</b> Excess from 2015. . . . .   |                             |  |   |
| <b>b</b> Excess from 2016. . . . .   |                             |  |   |
| <b>c</b> Excess from 2017. . . . .   |                             |  |   |
| <b>d</b> Excess from 2018. . . . .   |                             |  |   |
| <b>e</b> Excess from 2019. . . . .   |                             |  |   |

**Part VI Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a and 3b; Part V, line 1; Part V, Section B, line 1e; Part V Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions).

### Facts And Circumstances Test

| Return Reference | Explanation |
|------------------|-------------|
|                  |             |

## **Additional Data**

**Return to Form**

**Software ID:**

**Software Version:**

Schedule B

(Form 990, 990-EZ, or 990-PF)

Department of the Treasury Internal Revenue Service

Schedule of Contributors

OMB No. 1545-0047

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

2019

Name of the organization INSTITUTE FOR EASTWEST STUDIES INC

Employer identification number

13-3091844

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

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

Form 990-PF

- 501(c)(3) exempt private foundation
4947(a)(1) nonexempt charitable trust treated as a private foundation
501(c)(3) taxable private foundation

Check if your organization is covered by the General Rule or a Special Rule.

Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

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

Special Rules

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

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

Name of organization  
INSTITUTE FOR EASTWEST STUDIES INC

Employer identification number  
13-3091844

**Part I**  
**Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

| (a)<br>No. | (b)<br>Name, address, and ZIP + 4 | (c)<br>Total contributions | (d)<br>Type of contribution  |
|------------|-----------------------------------|----------------------------|--|
| RESTRICTED |                                   | \$ RESTRICTED              | <input type="checkbox"/> Person<br><input type="checkbox"/> Payroll<br><input type="checkbox"/> Noncash<br>(Complete Part II for noncash contributions.) |
|            |                                   | \$                         | <input type="checkbox"/> Person<br><input type="checkbox"/> Payroll<br><input type="checkbox"/> Noncash<br>(Complete Part II for noncash contributions.) |
|            |                                   | \$                         | <input type="checkbox"/> Person<br><input type="checkbox"/> Payroll<br><input type="checkbox"/> Noncash<br>(Complete Part II for noncash contributions.) |
|            |                                   | \$                         | <input type="checkbox"/> Person<br><input type="checkbox"/> Payroll<br><input type="checkbox"/> Noncash<br>(Complete Part II for noncash contributions.) |
|            |                                   | \$                         | <input type="checkbox"/> Person<br><input type="checkbox"/> Payroll<br><input type="checkbox"/> Noncash<br>(Complete Part II for noncash contributions.) |
|            |                                   | \$                         | <input type="checkbox"/> Person<br><input type="checkbox"/> Payroll<br><input type="checkbox"/> Noncash<br>(Complete Part II for noncash contributions.) |

Name of organization  
INSTITUTE FOR EASTWEST STUDIES INC

Employer identification number

13-3091844

**Part II** **Noncash Property** (see instructions). Use duplicate copies of Part II if additional space is needed.

| (a)<br>No. from<br>Part I | (b)<br>Description of noncash property given | (c)<br>FMV (or estimate)<br>(See instructions) | (d)<br>Date received |
|---------------------------|--|--|----------------------|
| -                         | _____<br>_____<br>_____                      | _____<br>\$                                    | _____                |
| -                         | _____<br>_____<br>_____                      | _____<br>\$                                    | _____                |
| -                         | _____<br>_____<br>_____                      | _____<br>\$                                    | _____                |
| -                         | _____<br>_____<br>_____                      | _____<br>\$                                    | _____                |
| -                         | _____<br>_____<br>_____                      | _____<br>\$                                    | _____                |
| -                         | _____<br>_____<br>_____                      | _____<br>\$                                    | _____                |
| -                         | _____<br>_____<br>_____                      | _____<br>\$                                    | _____                |
| -                         | _____<br>_____<br>_____                      | _____<br>\$                                    | _____                |
| -                         | _____<br>_____<br>_____                      | _____<br>\$                                    | _____                |
| -                         | _____<br>_____<br>_____                      | _____<br>\$                                    | _____                |

Name of organization  
INSTITUTE FOR EASTWEST STUDIES INC

Employer identification number

13-3091844

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

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

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

## **Additional Data**

**Return to Form**

**Software ID:**

**Software Version:**

**SCHEDULE D**  
(Form 990)

**Supplemental Financial Statements**

OMB No. 1545-0047

**2019**

**Open to Public Inspection**

▶ **Complete if the organization answered "Yes," on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.**  
▶ **Attach to Form 990.**

▶ **Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.**

Department of the Treasury  
Internal Revenue Service

**Name of the organization**  
INSTITUTE FOR EASTWEST STUDIES INC

**Employer identification number**  
13-3091844

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

|  | (a) Donor advised funds | (b) Funds and other accounts |
|--|-------------------------|------------------------------|
| <b>1</b> Total number at end of year . . . . .             |                         |                              |
| <b>2</b> Aggregate value of contributions to (during year) |                         |                              |
| <b>3</b> Aggregate value of grants from (during year)      |                         |                              |
| <b>4</b> Aggregate value at end of year . . . . .          |                         |                              |

**5** 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**

**6** Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can 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" on Form 990, Part IV, line 7.

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

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

|   | Held at the End of the Year |
|---|-----------------------------|
| <b>a</b> Total number of conservation easements . . . . .   | <b>2a</b>                   |
| <b>b</b> Total acreage restricted by conservation easements . . . . .   | <b>2b</b>                   |
| <b>c</b> Number of conservation easements on a certified historic structure included in (a) . . . . .   | <b>2c</b>                   |
| <b>d</b> Number of conservation easements included in (c) acquired after 7/25/06, and not on a historic structure listed in the National Register . . . . . | <b>2d</b>                   |

**3** Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ \_\_\_\_\_

**4** Number of states where property subject to conservation easement is located ▶ \_\_\_\_\_

**5** Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? . . . . .  **Yes**  **No**

**6** Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year  
▶ \_\_\_\_\_

**7** Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year  
▶ \$ \_\_\_\_\_

**8** Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? . . . . .  **Yes**  **No**

**9** In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

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

**1a** If the organization elected, as permitted under SFAS 116 (ASC 958), 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 XIII, the text of the footnote to its financial statements that describes these items.

**b** If the organization elected, as permitted under SFAS 116 (ASC 958), 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)** Revenue included on 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 (ASC 958) relating to these items:

**a** Revenue included on 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 acquisition, 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 XIII.
- 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" on 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 XIII and complete the following table:
- |  | Amount    |
|--|-----------|
| <b>c</b> Beginning balance . . . . .             | <b>1c</b> |
| <b>d</b> Additions during the year . . . . .     | <b>1d</b> |
| <b>e</b> Distributions during the year . . . . . | <b>1e</b> |
| <b>f</b> Ending balance . . . . .                | <b>1f</b> |
- 2a** Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability?  **Yes**  **No**
- b** If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided in Part XIII . . . .

**Part V Endowment Funds.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

|   | (a) Current year | (b) Prior year | (c) Two years back | (d) Three years back | (e) Four years back |
|---|------------------|----------------|--------------------|----------------------|---------------------|
| <b>1a</b> Beginning of year balance . . . . .                     | 6,622,619        | 6,794,489      | 6,768,365          | 6,331,739            | 6,295,962           |
| <b>b</b> Contributions . . . . .                                  |                  |                |                    |                      |                     |
| <b>c</b> Net investment earnings, gains, and losses               | 246,701          | 190,480        | 382,736            | 809,409              | 409,926             |
| <b>d</b> Grants or scholarships . . . . .                         |                  |                |                    |                      |                     |
| <b>e</b> Other expenditures for facilities and programs . . . . . | 33,555           | 323,050        | 325,000            | 325,000              | 325,000             |
| <b>f</b> Administrative expenses . . . . .                        | 1,257,942        | 39,300         | 31,612             | 47,783               | 49,149              |
| <b>g</b> End of year balance . . . . .                            | 5,577,823        | 6,622,619      | 6,794,489          | 6,768,365            | 6,331,739           |

**2** Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

- a** Board designated or quasi-endowment ▶
  - b** Permanent endowment ▶ 100.000 %
  - c** Temporarily restricted endowment ▶
- The percentages on lines 2a, 2b, and 2c should equal 100%.

**3a** Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

- (i)** unrelated organizations . . . . .
- (ii)** related organizations . . . . .

|               | Yes | No |
|---------------|-----|----|
| <b>3a(i)</b>  |     | No |
| <b>3a(ii)</b> |     | No |
| <b>3b</b>     |     |    |

**b** If "Yes" on 3a(ii), are the related organizations listed as required on Schedule R? . . . . .

**4** Describe in Part XIII the intended uses of the organization's endowment funds.

**Part VI Land, Buildings, and Equipment.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

| Description of property   | (a) Cost or other basis (investment) | (b) Cost or other basis (other) | (c) Accumulated depreciation | (d) Book value |
|---|--------------------------------------|---------------------------------|------------------------------|----------------|
| <b>1a</b> Land . . . . .  |                                      |                                 |                              |                |
| <b>b</b> Buildings . . . . .  |                                      |                                 |                              |                |
| <b>c</b> Leasehold improvements   |                                      | 651,650                         | 363,030                      | 288,620        |
| <b>d</b> Equipment . . . . .  |                                      | 298,056                         | 270,148                      | 27,908         |
| <b>e</b> Other . . . . .  |                                      | 196,279                         | 126,330                      | 69,949         |
| <b>Total.</b> Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10(c.) . . . ▶ |                                      |                                 |                              | 386,477        |

**Part VII Investments—Other Securities.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

| (a) Description of security or category<br>(including name of security)   | (b) Book value | (c) Method of valuation:<br>Cost or end-of-year market value |
|---|----------------|--|
| (1) Financial derivatives . . . . .                                       |                |  |
| (2) Closely-held equity interests . . . . .                               |                |  |
| (3) Other _____   |                |  |
| (B)   |                |  |
| (C)   |                |  |
| (D)   |                |  |
| (E)   |                |  |
| (F)   |                |  |
| (G)   |                |  |
| (H)   |                |  |
| (I)   |                |  |
| <b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 12.) |                |  |

**Part VIII Investments—Program Related.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

| (a) Description of investment  | (b) Book value | (c) Method of valuation:<br>Cost or end-of-year market value |
|--|----------------|--|
| (2)  |                |  |
| (3)  |                |  |
| (4)  |                |  |
| (5)  |                |  |
| (6)  |                |  |
| (7)  |                |  |
| (8)  |                |  |
| (9)  |                |  |
| (10)   |                |  |
| <b>Total.</b> (Column (b) must equal Form 990, Part X, col.(B) line 13.) |                |  |

**Part IX Other Assets.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

| (a) Description  | (b) Book value |
|--|----------------|
| (2)  |                |
| (3)  |                |
| (4)  |                |
| (5)  |                |
| (6)  |                |
| (7)  |                |
| (8)  |                |
| (9)  |                |
| (10)   |                |
| <b>Total.</b> (Column (b) must equal Form 990, Part X, col.(B) line 15.) |                |

**Part X Other Liabilities.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

| 1. (a) Description of liability  | (b) Book value |
|--|----------------|
| (1) Federal income taxes   | 0              |
| (2)  |                |
| (3)  |                |
| (4)  |                |
| (5)  |                |
| (6)  |                |
| (7)  |                |
| (8)  |                |
| (9)  |                |
| <b>Total.</b> (Column (b) must equal Form 990, Part X, col.(B) line 25.) | 7,136,930      |

2. Liability for uncertain tax positions. In Part XIII, 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 (ASC 740). Check here if the text of the footnote has been provided in Part XIII

**Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

|          |  |           |            |           |
|----------|--|-----------|------------|-----------|
| <b>1</b> | Total revenue, gains, and other support per audited financial statements . . . . .                       |           | <b>1</b>   | 3,137,825 |
| <b>2</b> | Amounts included on line 1 but not on Form 990, Part VIII, line 12:                                      |           |            |           |
| <b>a</b> | Net unrealized gains (losses) on investments . . . . .   | <b>2a</b> | -1,296,924 |           |
| <b>b</b> | Donated services and use of facilities . . . . .   | <b>2b</b> | 509,122    |           |
| <b>c</b> | Recoveries of prior year grants . . . . .  | <b>2c</b> |            |           |
| <b>d</b> | Other (Describe in Part XIII.) . . . . .   | <b>2d</b> |            |           |
| <b>e</b> | Add lines <b>2a</b> through <b>2d</b> . . . . .  | <b>2e</b> | -787,802   |           |
| <b>3</b> | Subtract line <b>2e</b> from line <b>1</b> . . . . .   | <b>3</b>  | 3,925,627  |           |
| <b>4</b> | Amounts included on Form 990, Part VIII, line 12, but not on line <b>1</b> :                             |           |            |           |
| <b>a</b> | Investment expenses not included on Form 990, Part VIII, line 7b . . . . .                               | <b>4a</b> | 51,615     |           |
| <b>b</b> | Other (Describe in Part XIII.) . . . . .   | <b>4b</b> |            |           |
| <b>c</b> | Add lines <b>4a</b> and <b>4b</b> . . . . .  | <b>4c</b> | 51,615     |           |
| <b>5</b> | Total revenue. Add lines <b>3</b> and <b>4c</b> . (This must equal Form 990, Part I, line 12.) . . . . . | <b>5</b>  | 3,977,242  |           |

**Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

|          |   |           |           |           |
|----------|---|-----------|-----------|-----------|
| <b>1</b> | Total expenses and losses per audited financial statements . . . . .                                      |           | <b>1</b>  | 6,514,696 |
| <b>2</b> | Amounts included on line 1 but not on Form 990, Part IX, line 25:   |           |           |           |
| <b>a</b> | Donated services and use of facilities . . . . .  | <b>2a</b> | 509,122   |           |
| <b>b</b> | Prior year adjustments . . . . .  | <b>2b</b> |           |           |
| <b>c</b> | Other losses . . . . .  | <b>2c</b> |           |           |
| <b>d</b> | Other (Describe in Part XIII.) . . . . .  | <b>2d</b> |           |           |
| <b>e</b> | Add lines <b>2a</b> through <b>2d</b> . . . . .   | <b>2e</b> | 509,122   |           |
| <b>3</b> | Subtract line <b>2e</b> from line <b>1</b> . . . . .  | <b>3</b>  | 6,005,574 |           |
| <b>4</b> | Amounts included on Form 990, Part IX, line 25, but not on line <b>1</b> :                                |           |           |           |
| <b>a</b> | Investment expenses not included on Form 990, Part VIII, line 7b . . . . .                                | <b>4a</b> | 51,615    |           |
| <b>b</b> | Other (Describe in Part XIII.) . . . . .  | <b>4b</b> |           |           |
| <b>c</b> | Add lines <b>4a</b> and <b>4b</b> . . . . .   | <b>4c</b> | 51,615    |           |
| <b>5</b> | Total expenses. Add lines <b>3</b> and <b>4c</b> . (This must equal Form 990, Part I, line 18.) . . . . . | <b>5</b>  | 6,057,189 |           |

**Part XIII Supplemental Information**

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, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

| Return Reference | Explanation  |
|------------------|--|
| PART V, LINE 4:  | THE ORGANIZATION MAINTAINS A DONOR-RESTRICTED ENDOWMENT FUND CONSISTING OF APPROXIMATELY 20 INDIVIDUAL FUNDS THAT HAS BEEN ESTABLISHED FOR VARIOUS PURPOSES AND HAS BEEN CLASSIFIED AS DONOR RESTRICTED NET ASSETS. In 2019, the organization's Board of Directors approved to appropriate an annual distribution of up to 5% of the net value of the organization's endowment using a five-year running average of the endowment to cover operating costs.  |
| PART X, LINE 2:  | Under U.S. GAAP, an organization must recognize the financial statement effects of tax positions taken for tax return purposes when it is more likely than not that the position will not be sustained. Institute for EastWest Studies, Inc. does not believe there are any material uncertain tax positions and, accordingly, it has not recognized any liability for uncertain tax benefits. The Organization has filed IRS Form 990 tax returns, as required, and all other applicable returns in jurisdictions when it is required. For the year ended September 30, 2020, there were no interest or penalties recorded or included in the consolidating financial statements. |

## **Additional Data**

[\*\*Return to Form\*\*](#)

**Software ID:**  
**Software Version:**

2019

Open to Public Inspection

SCHEDULE F (Form 990)

Statement of Activities Outside the United States

Complete if the organization answered "Yes" to Form 990, Part IV, line 14b, 15, or 16. Attach to Form 990. Go to www.irs.gov/Form990 for instructions and the latest information.

Department of the Treasury Internal Revenue Service

Name of the organization INSTITUTE FOR EASTWEST STUDIES INC

Employer identification number 13-3091844

Part I General Information on Activities Outside the United States. Complete if the organization answered "Yes" on Form 990, Part IV, line 14b.

1 For grantmakers. Does the organization maintain records to substantiate the amount of its grants and other assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? Yes No

2 For grantmakers. Describe in Part V the organization's procedures for monitoring the use of its grants and other assistance outside the United States.

3 Activities per Region. (The following Part I, line 3 table can be duplicated if additional space is needed.)

Table with 6 columns: (a) Region, (b) Number of offices in the region, (c) Number of employees, agents, and independent contractors in the region, (d) Activities conducted in region (by type), (e) If activity listed in (d) is a program service, describe specific type of service(s) in the region, (f) Total expenditures for and investments in the region. Includes rows for Europe (Including Iceland and Greenland), Russia and the Newly Independent States, and a sub-total.

**Part II Grants and Other Assistance to Organizations or Entities Outside the United States.** Complete if the organization answered "Yes" on Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Part II can be duplicated if additional space is needed.

| <b>1</b> | <b>(a)</b> Name of organization | <b>(b)</b> IRS code section and EIN (if applicable) | <b>(c)</b> Region | <b>(d)</b> Purpose of grant | <b>(e)</b> Amount of cash grant | <b>(f)</b> Manner of cash disbursement | <b>(g)</b> Amount of noncash assistance | <b>(h)</b> Description of noncash assistance | <b>(i)</b> Method of valuation (book, FMV, appraisal, other) |
|----------|---------------------------------|---|-------------------|-----------------------------|---------------------------------|--|---|--|--|
| (1)      |                                 |   |                   |                             |                                 |  |   |  |  |
| (2)      |                                 |   |                   |                             |                                 |  |   |  |  |
| (3)      |                                 |   |                   |                             |                                 |  |   |  |  |
| (4)      |                                 |   |                   |                             |                                 |  |   |  |  |
| (5)      |                                 |   |                   |                             |                                 |  |   |  |  |
| (6)      |                                 |   |                   |                             |                                 |  |   |  |  |
| (7)      |                                 |   |                   |                             |                                 |  |   |  |  |
| (8)      |                                 |   |                   |                             |                                 |  |   |  |  |
| (9)      |                                 |   |                   |                             |                                 |  |   |  |  |
| (10)     |                                 |   |                   |                             |                                 |  |   |  |  |
| (11)     |                                 |   |                   |                             |                                 |  |   |  |  |
| (12)     |                                 |   |                   |                             |                                 |  |   |  |  |
| (13)     |                                 |   |                   |                             |                                 |  |   |  |  |
| (14)     |                                 |   |                   |                             |                                 |  |   |  |  |
| (15)     |                                 |   |                   |                             |                                 |  |   |  |  |
| (16)     |                                 |   |                   |                             |                                 |  |   |  |  |

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter

3 Enter total number of other organizations or entities

**Part III Grants and Other Assistance to Individuals Outside the United States.** Complete if the organization answered "Yes" on Form 990, Part IV, line 16.

Part III can be duplicated if additional space is needed.

| <b>(a)</b> Type of grant or assistance | <b>(b)</b> Region | <b>(c)</b> Number of recipients | <b>(d)</b> Amount of cash grant | <b>(e)</b> Manner of cash disbursement | <b>(f)</b> Amount of noncash assistance | <b>(g)</b> Description of noncash assistance | <b>(h)</b> Method of valuation (book, FMV, appraisal, other) |
|--|-------------------|---------------------------------|---------------------------------|--|---|--|--|
| (1)                                    |                   |                                 |                                 |  |   |  |  |
| (2)                                    |                   |                                 |                                 |  |   |  |  |
| (3)                                    |                   |                                 |                                 |  |   |  |  |
| (4)                                    |                   |                                 |                                 |  |   |  |  |
| (5)                                    |                   |                                 |                                 |  |   |  |  |
| (6)                                    |                   |                                 |                                 |  |   |  |  |
| (7)                                    |                   |                                 |                                 |  |   |  |  |
| (8)                                    |                   |                                 |                                 |  |   |  |  |
| (9)                                    |                   |                                 |                                 |  |   |  |  |
| (10)                                   |                   |                                 |                                 |  |   |  |  |
| (11)                                   |                   |                                 |                                 |  |   |  |  |
| (12)                                   |                   |                                 |                                 |  |   |  |  |
| (13)                                   |                   |                                 |                                 |  |   |  |  |
| (14)                                   |                   |                                 |                                 |  |   |  |  |
| (15)                                   |                   |                                 |                                 |  |   |  |  |
| (16)                                   |                   |                                 |                                 |  |   |  |  |
| (17)                                   |                   |                                 |                                 |  |   |  |  |
| (18)                                   |                   |                                 |                                 |  |   |  |  |

**Part IV Foreign Forms**

- 1 Was the organization a U.S. transferor of property to a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 926, Return by a U.S. Transferor of Property to a Foreign Corporation (see Instructions for Form 926)* . . . . .  Yes  No
- 2 Did the organization have an interest in a foreign trust during the tax year? *If "Yes," the organization may be required to separately file Form 3520, Annual Return to Report Transactions with Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U.S. Owner (see Instructions for Forms 3520 and 3520-A; don't file with Form 990)* . . . . .  Yes  No
- 3 Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons with Respect to Certain Foreign Corporations. (see Instructions for Form 5471)* . . . . .  Yes  No
- 4 Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Information Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund. (see Instructions for Form 8621)* .  Yes  No
- 5 Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons with Respect to Certain Foreign Partnerships (see Instructions for Form 8865)* . . . . .  Yes  No
- 6 Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to separately file Form 5713, International Boycott Report (see Instructions for Form 5713; don't file with Form 990).* . . . . .  Yes  No



## Additional Data

**Software ID:**

**Software Version:**

SCHEDULE G (Form 990 or 990-EZ)

Supplemental Information Regarding Fundraising or Gaming Activities

OMB No. 1545-0047

2019

Open to Public Inspection

Complete if the organization answered "Yes" on Form 990, Part IV, lines 17, 18, or 19, or if the organization entered more than \$15,000 on Form 990-EZ, line 6a.

Attach to Form 990 or Form 990-EZ.

Go to www.irs.gov/Form990 for instructions and the latest information.

Department of the Treasury Internal Revenue Service

Name of the organization INSTITUTE FOR EASTWEST STUDIES INC

Employer identification number 13-3091844

Part I Fundraising Activities. Complete if the organization answered "Yes" on Form 990, Part IV, line 17. Form 990-EZ filers are not required to complete this part.

1 Indicate whether the organization raised funds through any of the following activities. Check all that apply.

- a Mail solicitations, b Internet and email solicitations, c Phone solicitations, d In-person solicitations, e Solicitation of non-government grants, f Solicitation of government grants, g Special fundraising events

2a Did the organization have a written or oral agreement with any individual (including officers, directors, trustees or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising services? Yes No

b If "Yes," list the 10 highest paid individuals or entities (fundraisers) pursuant to agreements under which the fundraiser is to be compensated at least \$5,000 by the organization.

Table with 6 columns: (i) Name and address of individual or entity (fundraiser), (ii) Activity, (iii) Did fundraiser have custody or control of contributions?, (iv) Gross receipts from activity, (v) Amount paid to (or retained by) fundraiser listed in col. (i), (vi) Amount paid to (or retained by) organization. Rows 1-10 and Total.

3 List all states in which the organization is registered or licensed to solicit contributions or has been notified it is exempt from registration or licensing.

**Part II Fundraising Events.** Complete if the organization answered "Yes" on Form 990, Part IV, line 18, or reported more than \$15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than \$5,000.

| Revenue  | (a) Event # 1                            | (b) Event # 2 | (c) Other events           | (d) Total events                |
|--|--|---------------|----------------------------|---------------------------------|
|  | <b>ANNUAL GALA</b><br>(event type)       | (event type)  | <b>0</b><br>(total number) | (add col. (a) through col. (c)) |
| <b>1</b> Gross receipts . . . . .  | 385,000                                  |               |                            | 385,000                         |
| <b>2</b> Less: Contributions . . . . .   | 313,169                                  |               |                            | 313,169                         |
| <b>3</b> Gross income (line 1 minus line 2) . . . . .                              | 71,831                                   |               |                            | 71,831                          |
| Direct Expenses  | <b>4</b> Cash prizes . . . . .           |               |                            |                                 |
|  | <b>5</b> Noncash prizes . . . . .        |               |                            |                                 |
|  | <b>6</b> Rent/facility costs . . . . .   |               |                            |                                 |
|  | <b>7</b> Food and beverages . . . . .    | 56,260        |                            | 56,260                          |
|  | <b>8</b> Entertainment . . . . .         |               |                            |                                 |
|  | <b>9</b> Other direct expenses . . . . . | 15,571        |                            | 15,571                          |
| <b>10</b> Direct expense summary. Add lines 4 through 9 in column (d) . . . . . ▶  |  |               |                            | 71,831                          |
| <b>11</b> Net income summary. Subtract line 10 from line 3, column (d) . . . . . ▶ |  |               |                            |                                 |

**Part III Gaming.** Complete if the organization answered "Yes" on Form 990, Part IV, line 19, or reported more than \$15,000 on Form 990-EZ, line 6a.

| Revenue   | (a) Bingo                                | (b) Pull tabs/Instant bingo/progressive bingo                          | (c) Other gaming   | (d) Total gaming (add col.(a) through col.(c))                         |
|---|--|--|--|--|
|   | <b>1</b> Gross revenue . . . . .         |  |  |  |
| Direct Expenses   | <b>2</b> Cash prizes . . . . .           |  |  |  |
|   | <b>3</b> Noncash prizes . . . . .        |  |  |  |
|   | <b>4</b> Rent/facility costs . . . . .   |  |  |  |
|   | <b>5</b> Other direct expenses . . . . . |  |  |  |
|   | <b>6</b> Volunteer labor . . . . .       | <input type="checkbox"/> Yes _____ % ..<br><input type="checkbox"/> No | <input type="checkbox"/> Yes _____ % ..<br><input type="checkbox"/> No | <input type="checkbox"/> Yes _____ % ..<br><input type="checkbox"/> No |
| <b>7</b> Direct expense summary. Add lines 2 through 5 in column (d) . . . . . ▶        |  |  |  |  |
| <b>8</b> Net gaming income summary. Subtract line 7 from line 1, column (d) . . . . . ▶ |  |  |  |  |

**9** Enter the state(s) in which the organization conducts gaming activities: \_\_\_\_\_

**a** Is the organization licensed to conduct gaming activities in each of these states? . . . . .  Yes  No

**b** If "No," explain: \_\_\_\_\_

-----

-----

**10a** Were any of the organization's gaming licenses revoked, suspended or terminated during the tax year? . . . . .  Yes  No

**b** If "Yes," explain: \_\_\_\_\_

-----

-----

11 Does the organization conduct gaming activities with nonmembers?  Yes  No

12 Is the organization a grantor, beneficiary or trustee of a trust or a member of a partnership or other entity formed to administer charitable gaming?  Yes  No

13 Indicate the percentage of gaming activity conducted in:

|   |                             |     |   |
|---|-----------------------------|-----|---|
| a | The organization's facility | 13a | % |
| b | An outside facility         | 13b | % |

14 Enter the name and address of the person who prepares the organization's gaming/special events books and records:

Name ▶ -----

Address ▶ -----

15a Does the organization have a contract with a third party from whom the organization receives gaming revenue?  Yes  No

b If "Yes," enter the amount of gaming revenue received by the organization ▶ \$ \_\_\_\_\_ and the amount of gaming revenue retained by the third party ▶ \$ \_\_\_\_\_.

c If "Yes," enter name and address of the third party:

Name ▶ -----

Address ▶ -----

16 Gaming manager information:

Name ▶ -----

Gaming manager compensation ▶ \$ -----

Description of services provided ▶ -----

Director/officer       Employee       Independent contractor

17 Mandatory distributions:

a Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license?  Yes  No

b Enter the amount of distributions required under state law distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ▶ \$ \_\_\_\_\_

**Part IV Supplemental Information.** Provide the explanations required by Part I, line 2b, columns (iii) and (v); and Part III, lines 9, 9b, 10b, 15b, 15c, 16, and 17b, as applicable. Also provide any additional information. See instructions.

| Return Reference | Explanation |
|------------------|-------------|
|------------------|-------------|

Schedule J (Form 990)

Compensation Information

OMB No. 1545-0047

2019

Open to Public Inspection

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees
Complete if the organization answered "Yes" on Form 990, Part IV, line 23.
Attach to Form 990.
Go to www.irs.gov/Form990 for instructions and the latest information.

Department of the Treasury Internal Revenue Service

Name of the organization INSTITUTE FOR EASTWEST STUDIES INC

Employer identification number

13-3091844

Part I Questions Regarding Compensation

Table with 3 columns: Question ID, Yes, No. Rows include 1a, 1b, 2, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, 8, 9.

1a Check the appropriate box(es) if the organization provided any of the following to or for a person listed on 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 idemnification 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)

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

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

3 Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.

- 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 on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:

- a Receive a severance payment or change-of-control payment?
b Participate in, or receive payment from, a supplemental nonqualified retirement plan?
c Participate in, or receive payment from, an equity-based compensation arrangement?
If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.

Only 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.

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

- a The organization?
b Any related organization?
If "Yes," on line 5a or 5b, describe in Part III.

6 For persons listed on 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?
b Any related organization?
If "Yes," on line 6a or 6b, describe in Part III.

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

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

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

**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 on 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) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

| (A) Name and Title   |      | (B) Breakdown of W-2 and/or 1099-MISC compensation |                                     |                                     | (C) Retirement and other deferred compensation | (D) Nontaxable benefits | (E) Total of columns (B)(i)-(D) | (F) Compensation in column (B) reported as deferred on prior Form 990 |
|--|------|--|-------------------------------------|-------------------------------------|--|-------------------------|---------------------------------|---|
|  |      | (i) Base compensation                              | (ii) Bonus & incentive compensation | (iii) Other reportable compensation |  |                         |                                 |   |
| <b>1</b> WILLIAM J PARKER III<br>PRESIDENT AND CEO (THRU 7/20) | (i)  | 230,488  | 0                                   | 0                                   | 13,813   | 1,126                   | 245,427                         | 0   |
|  | (ii) | -----<br>0   | -----<br>0                          | -----<br>0                          | -----<br>0                                     | -----<br>0              | -----<br>0                      | -----<br>0  |
| <b>2</b> CAMERON MUNTER THRU 619<br>former PRESIDENT AND CEO   | (i)  | 197,851  | 0                                   | 232,414                             | 16,800   | 912                     | 447,977                         | 0   |
|  | (ii) | -----<br>0   | -----<br>0                          | -----<br>0                          | -----<br>0                                     | -----<br>0              | -----<br>0                      | -----<br>0  |
| <b>3</b> BRUCE MCCONNELL<br>PRESIDENT AND CEO (EFF. 7/20)      | (i)  | 354,270  | 0                                   | 0                                   | 16,800   | 1,930                   | 373,000                         | 0   |
|  | (ii) | -----<br>0   | -----<br>0                          | -----<br>0                          | -----<br>0                                     | -----<br>0              | -----<br>0                      | -----<br>0  |
| <b>4</b> CONRAD JARZEBOWSKITHRU 1219<br>VP, COMMUNICATIONS     | (i)  | 151,712  | 0                                   | 6,438                               | 9,270  | 17,719                  | 185,139                         | 0   |
|  | (ii) | -----<br>0   | -----<br>0                          | -----<br>0                          | -----<br>0                                     | -----<br>0              | -----<br>0                      | -----<br>0  |
| <b>5</b> Daniela Kaisth<br>VP, Development                     | (i)  | 141,359  | 0                                   | 0                                   | 0  | 25,513                  | 166,872                         | 0   |
|  | (ii) | -----<br>0   | -----<br>0                          | -----<br>0                          | -----<br>0                                     | -----<br>0              | -----<br>0                      | -----<br>0  |
| <b>6</b> Ingo Dean<br>Director, IT                             | (i)  | 169,160  | 0                                   | 0                                   | 10,503   | 17,719                  | 197,382                         | 0   |
|  | (ii) | -----<br>0   | -----<br>0                          | -----<br>0                          | -----<br>0                                     | -----<br>0              | -----<br>0                      | -----<br>0  |
| <b>7</b> ANDREW YU<br>CONTROLLER                               | (i)  | 140,643  | 0                                   | 0                                   | 9,444  | 25,513                  | 175,600                         | 0   |
|  | (ii) | -----<br>0   | -----<br>0                          | -----<br>0                          | -----<br>0                                     | -----<br>0              | -----<br>0                      | -----<br>0  |
| <b>8</b> Oliver Senft<br>Director, HR                          | (i)  | 134,366  | 0                                   | 0                                   | 8,370  | 8,806                   | 151,542                         | 0   |
|  | (ii) | -----<br>0   | -----<br>0                          | -----<br>0                          | -----<br>0                                     | -----<br>0              | -----<br>0                      | -----<br>0  |
|  |      |  |                                     |                                     |  |                         |                                 |   |
|  |      |  |                                     |                                     |  |                         |                                 |   |
|  |      |  |                                     |                                     |  |                         |                                 |   |
|  |      |  |                                     |                                     |  |                         |                                 |   |
|  |      |  |                                     |                                     |  |                         |                                 |   |
|  |      |  |                                     |                                     |  |                         |                                 |   |
|  |      |  |                                     |                                     |  |                         |                                 |   |
|  |      |  |                                     |                                     |  |                         |                                 |   |
|  |      |  |                                     |                                     |  |                         |                                 |   |

**Part III Supplemental Information**

Provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II. Also complete this part for any additional information.

| Return Reference | Explanation   |
|------------------|---|
| PART I, LINE 4A: | CAMERON MUNTER, FORMER PRESIDENT AND CEO, THRU JUNE 2019, RECEIVED SEVERANCE PAYMENTS TOTALING \$232,414, WHICH IS REPORTED ON SCHEDULE J, PART II, COLUMN (B) (III). CONRAD JARZEBOWSKI, VP, COMMUNICATIONS, THRU DECEMBER 2019, RECEIVED SEVERANCE PAYMENTS TOTALING \$6,438, WHICH IS REPORTED ON SCHEDULE J, PART II, COLUMN (B) (III). |

## **Additional Data**

[Return to Form](#)

**Software ID:**

**Software Version:**

Schedule L (Form 990 or 990-EZ)

Transactions with Interested Persons

OMB No. 1545-0047

2019

Open to Public Inspection

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, line 38a or 40b. Attach to Form 990 or Form 990-EZ. Go to www.irs.gov/Form990 for instructions and the latest information.

Department of the Treasury Internal Revenue Service

Name of the organization INSTITUTE FOR EASTWEST STUDIES INC

Employer identification number

13-3091844

Part I Excess Benefit Transactions (section 501(c)(3), section 501(c)(4), and section 501(c)(29) 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 with 4 main columns: (a) Name of disqualified person, (b) Relationship between disqualified person and organization, (c) Description of transaction, (d) Corrected? (Yes/No)

2 Enter the amount of tax incurred by 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-EZ, Part V, line 38a, or Form 990, Part IV, line 26; or if the organization reported an amount on Form 990, Part X, line 5, 6, or 22

Table with 9 main columns: (a) Name of interested person, (b) Relationship with organization, (c) Purpose of loan, (d) Loan to or from the organization (To/From), (e) Original principal amount, (f) Balance due, (g) In default? (Yes/No), (h) Approved by board or committee? (Yes/No), (i) Written agreement? (Yes/No)

Total \$

Part III Grants or Assistance Benefiting Interested Persons.

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

Table with 5 main columns: (a) Name of interested person, (b) Relationship between interested person and the organization, (c) Amount of assistance, (d) Type of assistance, (e) Purpose of assistance

**Part IV Business Transactions Involving Interested Persons.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 28a, 28b, or 28c.

| (a) Name of interested person | (b) Relationship between interested person and the organization | (c) Amount of transaction | (d) Description of transaction | (e) Sharing of organization's revenues? |    |
|-------------------------------|---|---------------------------|--------------------------------|---|----|
|                               |   |                           |                                | Yes                                     | No |
| (1) Annie Cowan               | RELATIVE OF JOEL COWAN  | 55,608                    | COMPENSATION                   |   | No |
|                               |   |                           |                                |   |    |
|                               |   |                           |                                |   |    |
|                               |   |                           |                                |   |    |
|                               |   |                           |                                |   |    |
|                               |   |                           |                                |   |    |

**Part V Supplemental Information**

Provide additional information for responses to questions on Schedule L (see instructions).

| Return Reference | Explanation   |
|------------------|---|
| PART IV:         | ANNIE COWAN IS THE GRANDDAUGHTER OF JOEL COWAN, BOARD MEMBER. MS. COWAN WAS PROGRAM Associate IN BRUSSELS DURING the fiscal year. |

## **Additional Data**

[Return to Form](#)

**Software ID:**

**Software Version:**

**SCHEDULE O**  
(Form 990 or 990-EZ)

**Supplemental Information to Form 990 or 990-EZ**

OMB No. 1545-0047  
**2019**  
Open to Public Inspection

Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information.  
▶ Attach to Form 990 or 990-EZ.  
▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.

Department of the Treasury  
Name of the organization  
INSTITUTE FOR EASTWEST STUDIES INC

Employer identification number  
13-3091844

| Return Reference                | Explanation  |
|---------------------------------|--|
| FORM 990, PART I, LINE 1:       | We forge new connections and build trust among global leaders and influencers, help create practical new solutions and take action through our network of global decision-makers. Independent and nonprofit since our founding in 1980, the institute maintains offices in New York, Brussels, Moscow and San Francisco.   |
| FORM 990, PART III, LINE 1:     | THE EASTWEST INSTITUTE IS A GLOBAL NETWORK OF INFLUENTIAL STAKEHOLDERS COMMITTED TO AND ENGAGED IN BUILDING TRUST AND PREVENTING CONFLICT AROUND THE WORLD. WE ENGAGE IN CONFLICT PREVENTION AND RESOLUTION, PROVIDING THOUGHT LEADERSHIP AND STRATEGIC COUNSEL TO GOVERNMENTS, THE PRIVATE SECTOR AND OTHER STAKEHOLDERS WORLDWIDE. WE BRING CONFLICTING PARTIES TO THE NEGOTIATING TABLE, OFTEN FOR THE FIRST TIME, TO FIND COMMON GROUND. WE ANTICIPATE GLOBAL CHALLENGES AND DEVELOP SOLUTIONS RELEVANT TO POLICYMAKERS AND CORPORATE LEADERS.   |
| FORM 990, PART III, LINE 4B:    | CYBERSECURITY INITIATIVE - The objective of the Global Cooperation in Cyberspace program is to reduce conflict, crime and other disruptions in cyberspace and promote stability, innovation and inclusion. Global cooperation is essential to successfully address existing and emerging conflicts--both in cyberspace and across all areas of human endeavor. To this end, the EastWest Institute began its cyber work in 2009 as the pioneer organization that initiated a global dialogue on cyberspace security, diplomacy and deterrence. Past successes have helped shorten repair times for damaged undersea cables, reduce spam on a global basis, promote balanced encryption policies, build bilateral confidence and trust between East and West to improve crisis response and combat malicious hackers, and develop norms of responsible behavior in cyberspace. In 2020, the program will continue to develop and advocate for recommended changes in national and corporate policies and procedures. The principal means of developing these recommendations is through the work of five collaborative breakthrough groups, composed of decision-makers from key sectors around the world: - Increasing the Global Availability and Use of Secure ICT Products and Services - Secure, Resilient Cities and the Internet of Things - Systemic Risk and Cyber Insurance - Promoting Norms of Responsible Behavior in Cyberspace - Ubiquitous Encryption and Lawful Government Access As recommendations mature, EWI leads the preparation of reports detailing and supporting the conclusions. The latest report, Weathering TechNationalism: A Security and Trustworthiness Framework to Manage Cyber Supply Chain Risk, was released in May 2020. The report provides a framework to overcome the trust gap between ICT buyers, vendors, and operators and their respective governments instead of relying on "TechNationalism" - measures that favor ICT products and services sold by companies headquartered domestically or in allied states - to improve overall ICT security. EWI Cyber hosted its second virtual roundtable on Technology Nationalism on June 24, 2020 to foster dialogue among Chinese, European, Indian, Japanese, Malaysian, Singaporean and U.S. experts, with a focus on current developments in Asia. The successful roundtable was hosted by Hon. Michael Chertoff and had 35 participants. It followed the May 18 release of Cybers latest report, Weathering TechNationalism: A Security and Trustworthiness Framework to Manage Cyber Supply Chain Risk. The report proposes a practical risk mitigation framework for assurance and transparency to enhance global ICT trustworthiness. EWI Cyber hosted the first virtual meeting to support its Dutch-funded Global South project in August 2020. This project will feed into ongoing UN processes in an effort to build capacity for cyber norms implementation in the Global South and emerging markets. This meeting, which focused on Southeast Asia, discussed emerging technologies, UN norms processes, cyber capacity building and public-private partnerships. Hosted in partnership with the Cyber Security Agency of Singapore and S. Rajaratnam School of International Studies, the meeting featured participants from governments, businesses, civil society organizations, and universities from both within ASEAN and around the world. |
| FORM 990, PART III, LINE 4C:    | ASIA PACIFIC - Since 2006, EWIs East Asia (formally Asia-Pacific) program has focused on convening constructive, high-level dialogues that engage key American and regional stakeholders from government, business and military sectors to address important security issues, aiming to enhance greater mutual understanding and prevent conflicts. The program has strengthened trust and developed original policy ideas, which are receiving attention in Washington, Beijing and Tokyo. Dialogues and Impacts: EWIs U.S.-China High-Level Political Party Leaders Dialogue (P2P) is the only U.S.-China dialogue process involving sitting officials from the Communist Party of China and the U.S. Democratic and Republican National Committees. Launched in 2010, the dialogue builds trust and understanding among political leaders from the U.S. and China through an exchange of views on domestic governance and foreign policy issues. Since 2008, the U.S.-China Sanya Initiative has regularly assembled retired U.S. and Chinese four-star generals and admirals to build greater military-to-military understanding between the two countries and to mitigate the chance of escalation and miscalculation. Delegations have discussed a wide spectrum of strategic security issues, including North Korea, maritime disputes in the South and East China Seas, Chinas military reform and counterterrorism. The U.S.-Japan Military-to-Military Dialogue, launched in 2017, demonstrates ongoing efforts to integrate more players from the Indo-Pacific into programmatic initiatives and outreach. These dialogues have facilitated exchange among four-star generals and admirals from the Japanese and U.S. militaries on issues of critical concern to both countries. The East Asia program will seek to broaden this exchange to include both India and China, to enrich the discussion of evolving issues in the Indo-Pacific region.   |
| FORM 990, PART III, LINE 4D(1): | REGIONAL SECURITY - The Middle East and North Africa (MENA) region is undergoing unprecedented, historic, complex and rapid transformations. The results are violent and in some cases peaceful shifts, reshaping of state-society as well as inter-state relations and changes to the balance of power, fragmentation, polarization, and contests for power and influence among regional rivals. EWIs MENA Program is recognized for its role as a bridge-builder between conflicting parties. It has been providing a platform and safe environment for influential, well-connected experts and officials from the region and beyond to engage in confidential, complex, and constructive conversations that aim at achieving common ground and developing practical solutions for some of the key crises that destabilize the region: 1) Assisting Iraq to become the center of regional cooperation rather than being a theater for proxy wars, 2) Iran-Saudi regional rivalry, 3) Lack of inclusive governance & power sharing in Northeast Syria, 4) Weak economic relations between Algeria and Morocco, 5) Maritime security and preventing incidents at Sea in the Gulf region, and 6) Stemming ISIS & terrorist financing. CURRENT PROJECTS: A) Iraq and Its Neighbors: Enhancing Dialogue and Regional Integration in West Asia - The project aims at assisting Iraq to transform from being a theater for proxy  |

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|                                 | <p>wars to become a bridge-builder and center for regional interdependence through improved bilateral and multilateral relations with its key five neighbors: Saudi Arabia, Iran, Jordan, Turkey and Kuwait. Key policy ideas will be developed for regional and bilateral cooperation in the areas of security, politics, people-to-people relations, economy, energy and environmental cooperation. B) Iran-Saudi Dialogue - Over the course of the past five years, we have been building trust between a core group of Iranian and Saudi experts that jointly develop policy solutions in very specific areas including 1) challenges and opportunities for cooperation in the "post-oil" economic era, 2) identifying potential avenues of cooperation in the field of climate change, 3) the role of academic exchange in mitigating conflict, 4) contours of a "non-aggression pact" between both countries and 5) the role of media narratives and discourses in igniting conflicts, portraying and stereotyping "the other, how these narratives could play positive roles in creating change of perspectives. C) Dialogues on Governance and Security in Northeast Syria - Disagreements between the two main Syrian Kurdish political blocs-the Democratic Union Party (PYD) and the Kurdish National Council (KNC)-and between Kurdish authorities and non-Kurdish communities in Northeastern Syria are negatively affecting efforts to reach a sustainable, peaceful solution in the war-torn country. This project aims to facilitate common understandings between these groups on issues affecting security and stability in the region, including inclusive governance and power sharing. D) Algeria-Morocco Business Dialogue - This project focuses on multiple business sectors with the aim of overcoming obstacles to bilateral trade between the two neighbors. The dialogues will engage pragmatic business leaders from both countries during a series of high-level conferences. Discussions will center on topics vital to successful entrepreneurship in Algeria and Morocco such as food security, agriculture, healthcare, the impact of digitalization and new technologies and energy-with a particular focus on how to attract quality investment, ensure environmental protection and empower businesswomen. EWI successfully convened the second Algeria-Morocco Business Dialogue on "Women's Empowerment and Entrepreneurship: Challenges and Opportunities," in cooperation with its partner organizations, the German Algerian and German Moroccan Chambers of Industry and Commerce. The webinar brought together four high ranking female business leaders, two each from Algeria and Morocco, to take part in a cross-border business dialogue aiming to promote greater economic connectivity between the two countries. On September 8, 2020, EWI and the Center for Applied Research in Partnership with the Orient (CARPO) hosted their sixth "Brussels MENA Briefing"-a series of after-work briefings on the Middle East and North Africa (MENA) region-on the topic of "Jordanian Foreign Policy in Light of Regional Geopolitical Shifts." TOTAL EXPENSES: \$716,894. TOTAL REVENUE: \$0.</p>   |
| FORM 990, PART III, LINE 4D(2): | <p>RUSSIA AND U.S. - EWI continues to bridge the strategic divide between Russia and the United States by promoting cooperative engagement between the two countries on issues of mutual interest. In recent years, as Russia's relations with the West have deteriorated, EWI has helped to fill the void in disrupted bilateral governmental channels by sustaining U.S.-Russia dialogue talks on a number of critical issues, including counterterrorism and counternarcotics efforts in Afghanistan and cybersecurity. Even in this challenging political climate, EWI continues to engage key policymakers, experts and business leaders and experts in both Russia and the United States to keep open channels of communication, achieve breakthroughs and deliver policy impact. Recognized as a trusted convener, EWI engages policymakers, business leaders and experts to achieve breakthroughs and deliver policy impact in critical areas affecting the bilateral relationship. In the context of Russias G8 Presidency in 2006, for instance, EWI launched a series of international public-private consultations on countering terrorism. In 2009, EWI brought together top Russian and American scientists for the first-ever Joint Threat Assessment, which focused on Irans nuclear and ballistic missile potential. The success of this project led to the creation of similar EWI joint working groups addressing other critical issues of mutual concern, such as cyber security and Afghan narcotics trafficking. Since 2017, the Joint U.S.-Russia Working Group on Counterterrorism in Afghanistan has convened American and Russian experts in Moscow, Washington, D.C., Brussels and Vienna to assess the impact of terrorist and insurgent groups on Afghanistans security and stability. Through the efforts of the Working Group, EWI seeks to bridge the gap in current U.S.-Russia diplomatic engagement and help build trust-even if gradually and incrementally between governments and the political establishments of both countries. In June 2019, EWI convened a fourth and final meeting of the Joint U.S.-Russia Working Group on Counterterrorism in Afghanistan in Vienna, Austria. Against a backdrop of dynamic changes in Afghanistan, American and Russian experts came together to assess major developments in the bilateral relationship; the current security and political situation in Afghanistan; border management concerns; terrorist recruitment and radicalization; and the role of economic development in contributing to a safe and stable Afghanistan. In the framework of the meeting, Ambassador Thomas Greminger, secretary general of the Organization for Security and Co-operation in Europe (OSCE), addressed the Working Group, speaking on regional approaches to counterterrorism in Central Asia and Afghanistan. These deliberations contributed to the publication of Terrorism in Afghanistan: A Joint Threat Assessment, in May 2020, which provides policymakers with an independent assessment of the terrorist threat in Afghanistan and explores the counterterrorism agenda in the broader geopolitical context of U.S.-Russia relations. Together with Russian and European partners, EWIs Russia and Cyber programs in August 2020 released an analytical report on the application of norms of responsible behavior of states in the ICT environment, to be submitted for UN expert discussions in 2020. TOTAL EXPENSES: \$321,697. TOTAL REVENUE: \$0.</p> |
| FORM 990, PART III, LINE 4D(3): | <p>ECONOMIC SECURITY - As one of the fastest growing and dynamic regions, South Asia accounts for nearly one quarter of the world population and an increasingly greater share of the global economy. Yet owing to internal conflicts, territorial disputes and a history of deeply-rooted mistrust, the various regional stakeholders continue to struggle in collectively anticipating shared challenges and tapping into the myriad opportunities for growth and development. The EastWest Institutes South Asia program aims to advance knowledge and understanding of the regions underlying issues in order to generate sustained support towards greater intra-regional cooperation. To this end, the program brings together the most prominent and influential voices in South Asia to: - Establish multi-stakeholder platforms for shared economic, financial and geopolitical interests by bringing together media influencers, thought leaders, and business experts from within the U.S. and South Asia. - Pinpoint emerging shared security threats of overlapping interest and charting paths forward along avenues of cooperation, including joint action on issues stemming from water and food insecurity, and climate change. - Cultivate channels of cultural diplomacy and people-to-people exchange as a tool for anticipating and preventing the escalation of conflicts and promoting stronger regional ties. - Reinfuse rationality and keen diplomatic insight into the relationship between the U.S. and South Asian member states, encouraging the reaffirmation of continued partnership on regional and global challenges. - Examine interregional connectivity and Chinas growing regional presence, including the impact of the Belt and Road Initiative and the China Pakistan Economic Corridor and overall opportunities for integration, connectivity and stability. On March 2-4, 2020, the EastWest Institute and Konrad-Adenauer-Stiftung (KAS), in concert with the Institute of National Security Studies Sri Lanka (INSSSL) and Consortium of South Asian Think Tanks (COSATT), convened a high-level dialogue entitled: "Water Security and Disaster Management in Asia" in Colombo, Sri Lanka. The dialogue, second in the project series, brought together experts from both the public and private sectors in India, Pakistan, Bangladesh, Nepal, Sri Lanka and the Maldives to jointly analyze threats to water security in Asia in the face of worsening hydro-meteorological disasters due to climate change. The two-day dialogue consisted of six panel discussions on varied topics related to the politicization of water security, including the economic vulnerabilities of the water crisis and stakeholder engagement, among others. On August 12, 2020, the South Asia program, in cooperation with</p>  |

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|   | <p>Corporate Pakistan Group (CPG), hosted a webinar discussion on "South Asia Economic Future in the Post COVID-19 World." The webinar brought together a distinguished panel of experts, including EWI President Bruce McConnell and Board Member Ikram Sehgal, to share their perspectives on the impacts of COVID-19 on South Asian economies and how the region can work towards improving its socio-economic conditions in the post COVID-19 world. Previous webinars: - June 18, 2020: "The Geopolitics and Geoeconomics of COVID-19: Discerning the South Asia-China nexus". The webinar featured Dr. Parag Khanna, founder and managing partner of Future Map, and Dr. William J. Parker. - April 30, 2020: "Navigating the Geopolitics of COVID-19" hosted in cooperation with the American Pakistan Foundation. In partnership with Konrad-Adenauer-Stiftung [MDPD], the South Asia program in moving forward with plans for a dialogue on "International Hydrodiplomacy-Building and Strengthening Regional Institutions for Water Conflict Prevention" EWI and KAS are currently working with programmatic experts on a pre-conference study. TOTAL EXPENSES: \$290,987. TOTAL REVENUE: \$260,494.</p>   |
| <p>FORM 990, PART III, LINE 4D(4):</p>                  | <p>BALKANS INITIATIVE - EastWest Institute has launched the Balkans program in response to an urgent need for inclusive and open, high level dialogue concerning pressing security challenges threatening the Western Balkans and Europe. In partnership with the Munich Security Conference and the Belgrade Fund for Political Excellence, the initiative aims to increase and deepen understanding of key issues while building trust between representatives of the various geopolitical interests present in the region today. The program's work centers on the Balkan Dialogues initiative-a series of dialogues in different capitals in Europe and the U.S. that provide a platform for policymakers and experts to discuss and debate key areas where competing interests collide and produce recommendations for defusing existing tensions. Dialogues and Impacts: The first of the Balkans Dialogues took place in March 2019 in Belgrade. Decision-makers and experts from the six countries of the Western Balkans (WB6), including Albania, Bosnia and Herzegovina, Kosovo, Macedonia, Montenegro and Serbia, along with the European Union, United States, Russia and China met to reassess strategic goals in the region, resulting in several policy recommendations. Participants included Amb. Cameron Munter; Amb. Wolfgang Ischinger; Amb. Frank Wisner; Erhard Busek; Pierre Mirel; Amb. Kai Eide, Ivan Krastev and Aleksandar Vucic, President of Serbia, along with many other stakeholders and experts. The second Balkan Dialogues event convened in Berlin in December 2019, gathering 57 participants (heads of state, dignitaries and experts) along with 30 observers from 19 countries for a two-day working session focused on the future of EU expansion and the unresolved Kosovo-Serbia crisis. Participants put forward ideas to prevent future conflict, unblock the negotiations between Serbia and Kosovo and make the EU enlargement process more efficient and attractive for both the EU and the Balkans. The programs third Balkan Dialogues meeting occurred during the Munich Security Conference in March 2020. The event attracted an impressive number of high-level participants and fostered a lively and impassioned discussion among its active participants, including five prime ministers, five presidents, the EU High Representative for Foreign Policy, German State Secretary, U.S. Assistant Secretary of State, Secretary General of OSCE, seven Ministers of Foreign Affairs and Defense and several current and former ambassadors. In July 2020, EWIs Balkan program organized a digital meeting on the "Kosovo Serbia Agreement: Beginning with the End in Mind"-the fourth session in its Balkan Dialogues series. In August 2020, the Balkan Dialogues team, in partnership with Belgrade Fund for Political Excellence, completed a cycle of four dynamic and focused expert discussions addressing key elements of the future agreement between Serbia and Kosovo: 1) the future status of cultural heritage and sacred religious objects belonging to Orthodox church in Kosovo; 2) the status of of associated Serb Municipalities; 3) economy, property and energy governance; 4) and the future status of Kosovo under international law in the context of a comprehensive agreement. Each session produced a detailed report covering key recommendations and potential solutions. The team will review, edit and compile these reports into a combined paper, which will be presented to EU officials and experts from countries engaged in the negotiations process. Separately, the document will be presented and disseminated to political leaders from Serbia, Kosovo and the EU, civil sector organizations, as well as diplomatic representatives across the region. TOTAL EXPENSES: \$73,377. TOTAL REVENUE: \$0.</p> |
| <p>FORM 990, PART VI, SECTION A, LINE 2:</p>            | <p>ROSS PEROT, JR., CHAIRMAN, AND SARAH PEROT, BOARD MEMBER, HAVE A FAMILY RELATIONSHIP. Olivia Fischer and Addison Fischer, Board Members, have a family relationship.</p>  |
| <p>FORM 990, PART VI, SECTION B, LINE 10B:</p>          | <p>THE ORGANIZATION REQUIRES ALL STAFF MEMBERS TO ACKNOWLEDGE A RECEIPT OF THE STAFF HANDBOOK THAT CONTAIN WRITTEN POLICIES AND PROCEDURES OF CONDUCTING BUSINESS ACTIVITIES. THE OFFICES ARE REQUIRED TO REPORT THE MONTHLY FINANCIAL ACTIVITY AND FINANCIAL FORECAST TO NEW YORK OFFICE. THE BRUSSELS OFFICE REPRESENTATIVE IS A MEMBER OF THE SENIOR MANAGEMENT TEAM AND OTHER MEMBERS OF THE TEAM OVERSEES MOSCOW AND SAN FRANCISCO OFFICES. THE SENIOR MANAGEMENT TEAM REVIEW THE PROGRESS OF THE PROJECTS THAT ARE CONDUCTED IN EACH OFFICE ON A MONTHLY BASIS.</p>  |
| <p>FORM 990, PART VI, SECTION B, LINE 11B:</p>          | <p>THE FORM 990 IS REVIEWED BY MEMBERS OF THE INSTITUTE'S FINANCE DEPARTMENT AND BY THE INSTITUTE'S EXECUTIVE VICE PRESIDENT BEFORE BEING PRESENTED FOR AUDIT COMMITTEE REVIEW. AFTER FORM 990 IS REVIEWED BY THE AUDIT COMMITTEE, THE ENTIRE BOARD OF DIRECTORS IS SENT A PASSWORD PROTECTED LINK, WHICH GIVES THEM ACCESS TO FORM 990 ON THE INSTITUTE'S WEBSITE PRIOR TO ITS FILING WITH THE IRS.</p>   |
| <p>FORM 990, PART VI, SECTION B, LINE 12C:</p>          | <p>THE EASTWEST INSTITUTE (EWI) DISTRIBUTES ANNUALLY A CONFLICT OF INTEREST QUESTIONNAIRE FOR EWI DIRECTORS. ALL DIRECTORS OF THE INSTITUTE ARE REQUIRED TO COMPLETE, SIGN, DATE AND RETURN THE FORM TO THE DESIGNATED EWI STAFF MEMBER. EWI STAFF MAINTAINS A SPREADSHEET NOTING WHICH FORMS HAVE BEEN RECEIVED AND WHICH REMAIN OUTSTANDING. EFFORTS ARE MADE TO OBTAIN OUTSTANDING FORMS WHEN THE BOARD OF DIRECTORS HOLDS ITS BOARD MEETINGS. EFFORTS TO RECEIVE COMPLETED FORMS ARE ALSO MADE VIA E-MAIL. THE INSTITUTE'S MANAGEMENT TEAM WILL PROVIDE ADDITIONAL SUPPORT TO THE DESIGNATED STAFF MEMBER TO ENSURE 100% COMPLIANCE FROM THE DIRECTORS IN SIGNING AND RETURNING TO MANAGEMENT THE ANNUAL CONFLICT OF INTEREST QUESTIONNAIRE. IN ADDITION, THE INSTITUTE'S HUMAN RESOURCES DEPARTMENT SENDS A STAFF HANDBOOK WITH CODE OF BUSINESS CONDUCT AND ETHICS (INCLUDING CONFLICTS OF INTEREST SECTION) TO EWI STAFF, INCLUDING NEW HIRES AND BOARD MEMBERS BEFORE APPOINTMENT, AND REQUESTS ACKNOWLEDGMENT OF RECEIPT OF THE DOCUMENT. IN 2018, ALL STAFF MEMBERS ACKNOWLEDGED RECEIPT OF THE STAFF HANDBOOK. IN ADDITION, THE KEY EMPLOYEES COMPLETED A CONFLICTS OF INTEREST QUESTIONNAIRE SIMILAR TO THE VERSION THAT IS DISTRIBUTED TO EWI BOARD MEMBERS AND WILL DO SO SUBSEQUENTLY ON AN ANNUAL BASIS.</p>   |
| <p>FORM 990, PART VI, SECTION B, LINES 15A AND 15B:</p> | <p>THE COMPENSATION COMMITTEE OF THE EASTWEST INSTITUTE'S INDEPENDENT BOARD OF DIRECTORS ANNUALLY REVIEWS THE FAIRNESS OF THE CEO'S COMPENSATION AND BENEFITS AND UTILIZES DATA FROM COMPETENT SALARY SURVEYS IN THE NOT-FOR-PROFIT INDUSTRY. THE CEO IS NOT A MEMBER OF THE COMPENSATION COMMITTEE. THE COMMITTEE WORKS TOGETHER WITH THE HUMAN RESOURCES DEPARTMENT. COMPARABLE DATA FROM SALARY SURVEYS OF SIMILAR POSITIONS IN THE NOT-FOR-PROFIT INDUSTRY ARE REVIEWED, AND THE CEO AND SENIOR MANAGEMENT TEAM ARE</p>  |

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|  | <p>ADVISED OF CURRENT STANDARDS AND PAY SCALES. THE CHANGE OF COMPENSATION IS SUGGESTED TO THE COMPENSATION COMMITTEE FOR APPROVAL. A COPY OF THE APPROVAL OR REFUSAL BY THE COMPENSATION COMMITTEE IS PUT INTO THE PERSONNEL FILE OF THE CEO AND FOR PAYROLL PURPOSES SUBMITTED TO THE FINANCE DEPARTMENT. HR SUMMARIZES THE DECISION IN A CONFIRMATION LETTER, WHICH IS GIVEN TO THE CEO. ALL DOCUMENTATION IS PREPARED NO LATER THAN 30 DAYS AFTER THE APPROVAL. FOR EMPLOYEES WITH A SALARY LESS THAN \$100,000 USD THE PROCESS IS AS FOLLOWS: FIRST, THE SUPERVISOR SENDS A REQUEST TO HR, WHICH INCLUDES THE FORM "POSITION CHANGE/NEW POSITION INFORMATION". WITHIN THIS FORM, THE REQUESTING SUPERVISOR DESCRIBES A JUSTIFICATION IN DETAIL. ALONGSIDE THIS DOCUMENT, HR SUGGESTS A SPECIFIC SALARY RANGE, WHICH IS BASED ON REPRESENTATIVE SALARY SURVEYS IN THE NOT-FOR-PROFIT INDUSTRY. AFTER ALL INFORMATION IS COLLECTED AND VERIFIED, THE VP MAKING THE REQUEST, THE VP OF FINANCE AND ADMINISTRATION, AND THE CEO APPROVE OR DECLINE THE ADJUSTMENT. FOR EMPLOYEES WITH SALARIES OF MORE THAN \$100,000 USD, AND/OR KEY EMPLOYEES (VPS, DIRECTORS, ETC.), THE PROCESS INCLUDES REVIEW AND APPROVAL BY THE COMPENSATION COMMITTEE. ALL DOCUMENTATION IS FILED IN THE PERSONNEL FILES AND FINANCE DEPARTMENT, AND A LETTER OF CONFIRMATION IS GIVEN TO THE EMPLOYEE.</p>  |
| <p>FORM 990, PART VI, SECTION C, LINE 19:</p>        | <p>THE ORGANIZATION MAKES ITS GOVERNING DOCUMENTS, CONFLICT OF INTEREST POLICY AND FINANCIAL STATEMENTS AVAILABLE TO THE PUBLIC UPON REQUEST.</p>  |
| <p>FORM 990, PART I, LINE 2 AND PART XI, LINE 9:</p> | <p>A) Institute for EastWest Studies, Inc. has changed its basis of accounting from the ongoing basis used in presenting the 2019 consolidated financial statements to the liquidation basis used in presenting the 2020 financial statements. In accordance with the Verified Petition to the Attorney General of the Court for Approval of Plan of Dissolution and Distribution of Assets dated November 19, 2020, the Board of Directors of the organization has come to the conclusion to voluntarily cease operations within 270 days after the date on which the Attorney General approves the Plan of Dissolution and Distribution of Assets (the Date of Dissolution). The remaining assets, liabilities and net assets, including its intellectual property rights as of the Date of Dissolution, are to be transferred to the following organizations: Atlantic Council of the United States, Inc. (Atlantic Council), George H. W. Bush China Foundation for U.S.-China Relations (Bush China Foundation), College of Charleston Foundation (the College), Henry L. Stimson Center (Stimson), and Observer Research Foundation (Observer). The College will take over the responsibility of settling the organizations outstanding liabilities as of the Date of Dissolution. Total Accrued Closure Costs.....\$(7,136,930.) B) Foreign translation Gain.....2,974. ----- Total Form 990, Part XI, line 9.....\$(7,133,956.) The accrued closure costs include an accrual of anticipated distributions to five public charities as discussed above. Institute for Eastwest Studies, Inc. will report these distributions on Form 990, Schedule N for the following period which is expected to be its final return. The plan of dissolution and distribution of assets dated November 19, 2020 is subject to approval by New York State Attorney General.</p> |

## **Additional Data**

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