Form **990-PF**

Department of the Treasury
Internal Revenue Service

# Return of Private Foundation

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

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

OMB No. 1545-0047

**2021**

**Open to Public Inspection**

**For calendar year 2021, or tax year beginning 01-01-2021 , and ending 12-31-2021**

Name of foundation
LAURA AND JOHN ARNOLD FOUNDATION

**A Employer identification number**
26-3241764

Number and street (or P.O. box number if mail is not delivered to street address) Room/suite
1717 WEST LOOP SOUTH 1800

**B** Telephone number (see instructions)
(713) 554-1349

City or town, state or province, country, and ZIP or foreign postal code
HOUSTON, TX 770273048

**C** If exemption application is pending, check here ▶ ☐

**G** Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change

**D 1.** Foreign organizations, check here..... ▶ ☐
**2.** Foreign organizations meeting the 85% test, check here and attach computation ... ▶ ☐

**H** Check type of organization: ☑ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

**E** If private foundation status was terminated under section 507(b)(1)(A), check here ..... ▶ ☐

**I** Fair market value of all assets at end of year (from Part II, col. (c), *line 16)* ▶$ 3,205,217,735

**J** Accounting method: ☐ Cash ☐ Accrual ☑ Other (specify) MODIFIED CASH
*(Part I, column (d) must be on cash basis.)*

**F** If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ..... ▶ ☐

**Part I** **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)*

| | | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|---|
| Revenue | 1 | Contributions, gifts, grants, etc., received (attach schedule) | 270,006,771 | | | |
| | 2 | Check ▶ ☐ if the foundation is **not** required to attach Sch. B | | | | |
| | 3 | Interest on savings and temporary cash investments | 29,323 | 29,323 | | |
| | 4 | Dividends and interest from securities | 81,156,417 | 90,545,092 | | |
| | 5a | Gross rents | | | | |
| | b | Net rental income or (loss) | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 | 130,995,724 | | | |
| | b | Gross sales price for all assets on line 6a 442,637,039 | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) | | 138,118,588 | | |
| | 8 | Net short-term capital gain | | | | |
| | 9 | Income modifications | | | | |
| | 10a | Gross sales less returns and allowances | | | | |
| | b | Less: Cost of goods sold | | | | |
| | c | Gross profit or (loss) (attach schedule) | | | | |
| | 11 | Other income (attach schedule) | 67,064,442 | 14,701,139 | 386,943 | |
| | 12 | **Total.** Add lines 1 through 11 | 549,252,677 | 243,394,142 | 386,943 | |
| Operating and Administrative Expenses | 13 | Compensation of officers, directors, trustees, etc. | 0 | 0 | 0 | 0 |
| | 14 | Other employee salaries and wages | | | | |
| | 15 | Pension plans, employee benefits | | | | |
| | 16a | Legal fees (attach schedule) | 646,434 | 575,269 | 50,175 | 71,165 |
| | b | Accounting fees (attach schedule) | 166,177 | 41,309 | 0 | 58,325 |
| | c | Other professional fees (attach schedule) | 2,532,702 | 1,336,924 | 0 | 1,195,778 |
| | 17 | Interest | 842,735 | 842,735 | 0 | 0 |
| | 18 | Taxes (attach schedule) (see instructions) | 23,495,889 | 2,279,783 | 0 | 0 |
| | 19 | Depreciation (attach schedule) and depletion | | 1,636,810 | | |
| | 20 | Occupancy | | | | |
| | 21 | Travel, conferences, and meetings | 4,206 | 0 | 0 | 4,206 |
| | 22 | Printing and publications | | | | |
| | 23 | Other expenses (attach schedule) | 1,248,164 | 5,331,959 | 0 | 13,000 |
| | 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 28,936,307 | 12,044,789 | 50,175 | 1,342,474 |
| | 25 | Contributions, gifts, grants paid | 171,172,320 | | | 171,172,320 |
| | 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 200,108,627 | 12,044,789 | 50,175 | 172,514,794 |
| | 27 | Subtract line 26 from line 12: | | | | |
| | a | **Excess of revenue over expenses and disbursements** | 349,144,050 | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 231,349,353 | | |
| | c | **Adjusted net income** (if negative, enter -0-) | | | 336,768 | |

**Part II** **Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)

| | | | Beginning of year | End of year | |
|---|---|---|---|---|---|
| | | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 | Cash—non-interest-bearing | | | |
| | 2 | Savings and temporary cash investments | 402,598,745 | 93,239,573 | 93,239,573 |
| | 3 | Accounts receivable ▶ | | | |
| | | Less: allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶ | | | |
| | | Less: allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 | Other notes and loans receivable (attach schedule) ▶ | | | |
| | | Less: allowance for doubtful accounts ▶ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10a | Investments—U.S. and state government obligations (attach schedule) | | | |
| | b | Investments—corporate stock (attach schedule) | 1,160,510,936 | 1,488,591,928 | 1,488,591,928 |
| | c | Investments—corporate bonds (attach schedule) | 236,657,619 | 227,255,263 | 227,255,263 |
| | 11 | Investments—land, buildings, and equipment: basis ▶ | | | |
| | | Less: accumulated depreciation (attach schedule) ▶ | | | |
| | 12 | Investments—mortgage loans | | | |
| | 13 | Investments—other (attach schedule) | 879,701,189 | 1,386,890,987 | 1,386,890,987 |
| | 14 | Land, buildings, and equipment: basis ▶ | | | |
| | | Less: accumulated depreciation (attach schedule) ▶ | | | |
| | 15 | Other assets (describe ▶ ) | 13,069,844 | 9,239,984 | 9,239,984 |
| | 16 | **Total assets** (to be completed by all filers—see the instructions. Also, see page 1, item I) | 2,692,538,333 | 3,205,217,735 | 3,205,217,735 |
| Liabilities | 17 | Accounts payable and accrued expenses | | | |
| | 18 | Grants payable | | | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable (attach schedule) | | | |
| | 22 | Other liabilities (describe ▶ ) | | | |
| | 23 | **Total liabilities**(add lines 17 through 22) | 0 | 0 | |
| Net Assets or Fund Balances | | **Foundations that follow FASB ASC 958, check here** ▶ ☐ **and complete lines 24, 25, 29 and 30.** | | | |
| | 24 | Net assets without donor restrictions | | | |
| | 25 | Net assets with donor restrictions | | | |
| | | **Foundations that do not follow FASB ASC 958, check here** ▶ ☑ **and complete lines 26 through 30.** | | | |
| | 26 | Capital stock, trust principal, or current funds | 0 | 0 | |
| | 27 | Paid-in or capital surplus, or land, bldg., and equipment fund | 0 | 0 | |
| | 28 | Retained earnings, accumulated income, endowment, or other funds | 2,692,538,333 | 3,205,217,735 | |
| | 29 | **Total net assets or fund balances** (see instructions) | 2,692,538,333 | 3,205,217,735 | |
| | 30 | **Total liabilities and net assets/fund balances** (see instructions) | 2,692,538,333 | 3,205,217,735 | |

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

| | | | |
|---|---|---|---|
| 1 | Total net assets or fund balances at beginning of year—Part II, column (a), line 29 (must agree with end-of-year figure reported on prior year's return) | 1 | 2,692,538,333 |
| 2 | Enter amount from Part I, line 27a | 2 | 349,144,050 |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 163,535,352 |
| 4 | Add lines 1, 2, and 3 | 4 | 3,205,217,735 |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | 0 |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29 | 6 | 3,205,217,735 |

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

| | (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.) | (b) How acquired P—Purchase D—Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1 a | PUBLICLY TRADED SECURITIES | | 2020-01-01 | 2021-12-31 |
| b | PUBLICLY TRADED SECURITIES | | 2020-01-01 | 2021-12-31 |
| c | FOREIGN CAPITAL GAIN DISTRIBUTIONS | P | 2020-01-01 | 2021-12-31 |
| d | CAPITAL GAIN DISTRIBUTIONS | P | 2020-01-01 | 2021-12-31 |
| e | REDEMPTION OF CREDIT FACILITIES | P | 2020-01-01 | 2021-12-31 |
| | LIQUIDATION OF TS IMPACT, INC. | P | 2020-01-01 | 2021-12-31 |
| | ALTERNATIVE INVESTMENTS | P | 2020-01-01 | 2021-12-31 |
| | DISTRIBUTION IN EXCESS OF BASIS | P | 2020-01-01 | 2021-12-31 |
| | LIQUIDATION OF CROWN ROCK HOLDINGS LP | P | 2020-01-01 | 2021-12-31 |
| | DISPOSAL OF CHENIERE ENERGY PARTNERS, L.P. | P | 2020-01-01 | 2021-12-31 |
| | LIQUIDATION OF ONYXPOINT PERMIAN PREFERRED LP | P | 2020-01-01 | 2021-12-31 |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 231,911,842 | | 138,446,626 | 93,465,216 |
| b | 76,523,563 | | 61,794,500 | 14,729,063 |
| c | 15,980,607 | | | 15,980,607 |
| d | 8,787,485 | | | 8,787,485 |
| e | 23,951,754 | | 23,413,477 | 538,277 |
| | | | 1,981,954 | -1,981,954 |
| | 31,143,538 | | | 31,143,538 |
| | 298,593 | | | 298,593 |
| | 52,667,397 | | 51,980,821 | 686,576 |
| | 1,372,260 | | 651,690 | 720,570 |
| | | | 26,249,383 | -26,249,383 |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) **or** Losses (from col.(h)) |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 93,465,216 |
| b | | | | 14,729,063 |
| c | | | | 15,980,607 |
| d | | | | 8,787,485 |
| e | | | | 538,277 |
| | | | | -1,981,954 |
| | | | | 31,143,538 |
| | | | | 298,593 |
| | | | | 686,576 |
| | | | | 720,570 |
| | | | | -26,249,383 |

| | | | |
|---|---|---|---|
| | Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } | 2 | 138,118,588 |
| 2 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8 . . . . . | 3 | |

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

| | | | |
|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Bracket for line 1a | | |
| | Date of ruling or determination letter: _____ **(attach copy of letter if necessary–see instructions)** | | |
| b | All other domestic foundations enter 1.39% (0.0139) of line 27b. Exempt foreign organizations enter 4% (0.04) of Part I, line 12, col. (b) | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 2 | 0 |
| 3 | Add lines 1 and 2 | 3 | 3,215,756 |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 4 | 0 |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0- | 5 | 3,215,756 |
| 6 | Credits/Payments: | | |
| a | 2021 estimated tax payments and 2020 overpayment credited to 2021 — 6a: 2,861,378 | | |
| b | Exempt foreign organizations—tax withheld at source — 6b: 0 | | |
| c | Tax paid with application for extension of time to file (Form 8868) — 6c: 950,000 | | |
| d | Backup withholding erroneously withheld — 6d: 0 | | |
| 7 | Total credits and payments. Add lines 6a through 6d | 7 | 3,811,378 |
| 8 | Enter any **penalty** for underpayment of estimated tax. Check here ☑ if Form 2220 is attached. | 8 | 0 |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | 9 | |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | 10 | 595,622 |
| 11 | Enter the amount of line 10 to be: **Credited to 2022 estimated tax** ▶ 595,622 **Refunded** ▶ | 11 | 0 |

## Part VI-A Statements Regarding Activities

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | No |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition. | 1b | | No |
| | *If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.* | | | |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | No |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: **(1)** On the foundation. ▶ $ 0 **(2)** On foundation managers. ▶ $ 0 | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0 | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.* | 2 | | No |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | No |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | Yes | |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? | 4b | Yes | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.* | 5 | | No |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | Yes | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XIV.* | 7 | Yes | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ CA, NY, TX, DC, OK | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation* | 8b | Yes | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2021 or the taxable year beginning in 2021? See the instructions for Part XIII. If "Yes," complete Part XIII | 9 | | No |
| 10 | Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses.* | 10 | | No |

## Part VI-A Statements Regarding Activities (continued)

| | | | | |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions | 11 | Yes | |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions | 12 | | No |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | Yes | |
| | Website address ▶ WWW.ARNOLDVENTURES.ORG | | | |
| 14 | The books are in care of ▶ ELIZABETH BANKS Telephone no. ▶ (713) 554-1349 | | | |
| | Located at ▶ 1717 WEST LOOP SOUTH SUITE 1800 HOUSTON TX ZIP+4 ▶ 770273048 | | | |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** —check here ▶ ☐ and enter the amount of tax-exempt interest received or accrued during the year ▶ | 15 | | |
| 16 | At any time during calendar year 2021, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | | No |
| | See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign | | | |

## Part VI-B Statements Regarding Activities for Which Form 4720 May Be Required

| | | | Yes | No |
|---|---|---|---|---|
| | **File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.** | | | |
| 1a | During the year did the foundation (either directly or indirectly): | | | |
| | **(1)** Engage in the sale or exchange, or leasing of property with a disqualified person? | 1a(1) | | No |
| | **(2)** Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? | 1a(2) | | No |
| | **(3)** Furnish goods, services, or facilities to (or accept them from) a disqualified person? | 1a(3) | Yes | |
| | **(4)** Pay compensation to, or pay or reimburse the expenses of, a disqualified person? | 1a(4) | | No |
| | **(5)** Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? | 1a(5) | | No |
| | **(6)** Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) | 1a(6) | | No |
| b | If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions | 1b | | No |
| c | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| d | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2021? | 1d | | No |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): | | | |
| a | At the end of tax year 2021, did the foundation have any undistributed income (lines 6d and 6e, Part XII) for tax year(s) beginning before 2021? | 2a | | No |
| | If "Yes," list the years ▶ 20____, 20____, 20____, 20____ | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions.) | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ 20____, 20____, 20____, 20____ | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? | 3a | Yes | |
| b | If "Yes," did it have excess business holdings in 2021 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969; **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2021.)* | 3b | Yes | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | No |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2021? | 4b | | No |

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

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

## Part VII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

**1 List all officers, directors, trustees, foundation managers and their compensation. See instructions**

| **(a)** Name and address | **(b)** Title, and average hours per week devoted to position | **(c)** Compensation **(If not paid, enter -0-)** | **(d)** Contributions to employee benefit plans and deferred compensation | **(e)** Expense account, other allowances |
|---|---|---|---|---|
| JOHN D ARNOLD<br>1717 WEST LOOP SOUTH SUITE 1800<br>HOUSTON, TX 77027 | DIRECTOR/CO-CHAIR<br>20.00 | 0 | 0 | 0 |
| LAURA E ARNOLD<br>1717 WEST LOOP SOUTH SUITE 1800<br>HOUSTON, TX 77027 | DIRECTOR/CO-CHAIR<br>20.00 | 0 | 0 | 0 |
| ROXANNE ALMARAZ<br>1717 WEST LOOP SOUTH SUITE 1800<br>HOUSTON, TX 77027 | SECRETARY<br>20.00 | 0 | 0 | 0 |
| ELIZABETH BANKS<br>1717 WEST LOOP SOUTH SUITE 1800<br>HOUSTON, TX 77027 | TREASURER<br>20.00 | 0 | 0 | 0 |
| KELLI RHEE<br>1717 WEST LOOP SOUTH SUITE 1800<br>HOUSTON, TX 77027 | DIRECTOR/PRESIDENT & CEO<br>20.00 | 0 | 0 | 0 |

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

| **(a)** Name and address of each employee paid more than $50,000 | **(b)** Title, and average hours per week devoted to position | **(c)** Compensation | **(d)** Contributions to employee benefit plans and deferred compensation | **(e)** Expense account, other allowances |
|---|---|---|---|---|
| NONE | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

**Total** number of other employees paid over $50,000 ▶ 0

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

**3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".**

| **(a)** Name and address of each person paid more than $50,000 | **(b)** Type of service | **(c)** Compensation |
|---|---|---|
| MORGAN CREEK CAPITAL MANAGEMENT LLC<br>301 W BARBEE CHAPEL RD<br>CHAPEL HILL,NC 27517 | INVESTMENT MANAGEMENT | 685,639 |
| FIDELITY INSTITUTIONAL ASSET MANAGEMENT LLC<br>24671 NETWORK PLACE<br>CHICAGO,IL 60673 | INVESTMENT MANAGEMENT | 469,573 |
| REED SMITH LLP<br>811 MAIN SUITE 1700<br>HOUSTON,TX 77002 | LEGAL FEES | 367,310 |
| CENTER FOR HEALTH CARE STRATEGIES INC<br>200 AMERIC METRO BLVD S119<br>HAMILTON,NJ 08619 | CONSULTING - HEALTH CARE | 185,286 |
| ATI ADVISORY<br>3505 ALBEMARLE ST NW<br>WASHINGTON,DC 20008 | CONSULTING - HEALTH CARE | 176,173 |

**Total** number of others receiving over $50,000 for professional services. . . . . ▶

17

## Part VIII- Summary of Direct Charitable Activities

| List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc. | Expenses |
|---|---|
| 1 | |
| 2 | |
| 3 | |
| 4 | |

## Part VIII- Summary of Program-Related Investments (see instructions)

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2. | Amount |
|---|---|
| 1 | |
| 2 | |
| All other program-related investments. See instructions. 3 | |
| **Total.** Add lines 1 through 3 . . . . . ▶ | 0 |

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

| | | | | | |
|---|---|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | | | |
| a | Average monthly fair market value of securities | | | 1a | 1,613,813,712 |
| b | Average of monthly cash balances | | | 1b | 385,055,424 |
| c | Fair market value of all other assets (see instructions) | | | 1c | 873,478,540 |
| d | **Total** (add lines 1a, b, and c) | | | 1d | 2,872,347,676 |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) | 1e | 0 | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | | | 2 | 0 |
| 3 | Subtract line 2 from line 1d | | | 3 | 2,872,347,676 |
| 4 | Cash deemed held for charitable activities. Enter 1.5% (0.015) of line 3 (for greater amount, see instructions) | | | 4 | 43,085,215 |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. | | | 5 | 2,829,262,461 |
| 6 | **Minimum investment return.** Enter 5% (0.05) of line 5 | | | 6 | 141,463,123 |

## Part X Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ▶ ☐ and do not complete this part.)

| | | | | | |
|---|---|---|---|---|---|
| 1 | Minimum investment return from Part IX, line 6 | | | 1 | 141,463,123 |
| 2a | Tax on investment income for 2021 from Part V, line 5 | 2a | 3,215,756 | | |
| b | Income tax for 2021. (This does not include the tax from Part V.) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 3,215,756 |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | | 3 | 138,247,367 |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | 7,234,248 |
| 5 | Add lines 3 and 4 | | | 5 | 145,481,615 |
| 6 | Deduction from distributable amount (see instructions) | | | 6 | 0 |
| 7 | **Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XII, line 1 | | | 7 | 145,481,615 |

## Part XI Qualifying Distributions (see instructions)

| | | | |
|---|---|---|---|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes: | | |
| a | Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26 | 1a | |
| b | Program-related investments—total from Part VIII-B | 1b | |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | **Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part XII, line 4. | 4 | |

**Part XII** **Undistributed Income** (see instructions)

| | | (a) Corpus | (b) Years prior to 2020 | (c) 2020 | (d) 2021 |
|---|---|---|---|---|---|
| **1** Distributable amount for 2021 from Part X, line 7 | | | | | 145,481,615 |
| **2** Undistributed income, if any, as of the end of 2021: | | | | | |
| **a** Enter amount for 2020 only. . . . . | | | | 0 | |
| **b** Total for prior years: 20___, 20___, 20___ | | | 0 | | |
| **3** Excess distributions carryover, if any, to 2021: | | | | | |
| **a** From 2016. . . . . | | | | | |
| **b** From 2017. . . . . | | | | | |
| **c** From 2018. . . . . | | | | | |
| **d** From 2019. . . . . | | | | | |
| **e** From 2020. . . . . | 83,026,545 | | | | |
| **f** **Total** of lines 3a through e . . . . . | | 83,026,545 | | | |
| **4** Qualifying distributions for 2021 from Part XI, line 4: ▶ $ 172,514,794 | | | | | |
| **a** Applied to 2020, but not more than line 2a | | | | 0 | |
| **b** Applied to undistributed income of prior years (Election required—see instructions). . . . . | | | 0 | | |
| **c** Treated as distributions out of corpus (Election required—see instructions). . . . . | | 0 | | | |
| **d** Applied to 2021 distributable amount . . . . . | | | | | 145,481,615 |
| **e** Remaining amount distributed out of corpus | | 27,033,179 | | | |
| **5** Excess distributions carryover applied to 2021. *(If an amount appears in column (d), the same amount must be shown in column (a).)* | | 0 | | | 0 |
| **6** **Enter the net total of each column as indicated below:** | | | | | |
| **a** Corpus. Add lines 3f, 4c, and 4e. Subtract line 5 | | 110,059,724 | | | |
| **b** Prior years' undistributed income. Subtract line 4b from line 2b . . . . . | | | 0 | | |
| **c** Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed . . . . . | | | 0 | | |
| **d** Subtract line 6c from line 6b. Taxable amount —see instructions . . . . . | | | 0 | | |
| **e** Undistributed income for 2019. Subtract line 4a from line 2a. Taxable amount—see instructions . . . . . | | | | 0 | |
| **f** Undistributed income for 2021. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2022 . . . . . | | | | | 0 |
| **7** Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions) . . . . . | | 0 | | | |
| **8** Excess distributions carryover from 2016 not applied on line 5 or line 7 (see instructions) . . . | | 0 | | | |
| **9** **Excess distributions carryover to 2022.** Subtract lines 7 and 8 from line 6a . . . . . | | 110,059,724 | | | |
| **10** Analysis of line 9: | | | | | |
| **a** Excess from 2017 . . . . | | | | | |
| **b** Excess from 2018 . . . . | | | | | |
| **c** Excess from 2019. . . . | | | | | |
| **d** Excess from 2020 . . . . | 83,026,545 | | | | |
| **e** Excess from 2021 . . . . | 27,033,179 | | | | |

**Part XIII** **Private Operating Foundations** (see instructions and Part VI-A, question 9)

**1a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2021, enter the date of the ruling

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

| | Tax year | Prior 3 years | | | (e) Total |
|---|---|---|---|---|---|
| | **(a)** 2021 | **(b)** 2020 | **(c)** 2019 | **(d)** 2018 | |
| **2a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | | | | | |
| **b** 85% (0.85) of line 2a | | | | | |
| **c** Qualifying distributions from Part XI, line 4 for each year listed | | | | | |
| **d** Amounts included in line 2c not used directly for active conduct of exempt activities | | | | | |
| **e** Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c | | | | | |
| **3** Complete 3a, b, or c for the alternative test relied upon: **a** "Assets" alternative test—enter: **(1)** Value of all assets | | | | | |
| **(2)** Value of assets qualifying under section 4942(j)(3)(B)(i) | | | | | |
| **b** "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part IX, line 6 for each year listed | | | | | |
| **c** "Support" alternative test—enter: **(1)** Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) | | | | | |
| **(2)** Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii) | | | | | |
| **(3)** Largest amount of support from an exempt organization | | | | | |
| **(4)** Gross investment income | | | | | |

**Part** **Supplementary Information (Complete this part only if the foundation had $5,000 or more in assets at any time during the year—see instructions.)**

**1 Information Regarding Foundation Managers:**

**a** List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than $5,000). (See section 507(d)(2).)

JOHN D ARNOLD

LAURA E ARNOLD

**b** List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.

JOHN D ARNOLD

LAURA E ARNOLD

**2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**

Check here ☑ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. to individuals or organizations under other conditions, complete items 2a, b, c, and d. See instructions

**a** The name, address, and telephone number or email address of the person to whom applications should be addressed:

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

**c** Any submission deadlines:

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

## Part XV-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions.) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 29,323 | |
| 4 Dividends and interest from securities | | | | | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 130,995,724 | |
| 9 Net income or (loss) from special events: | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue: | | | | | |
| a RETURNED GRANTS | | | | | 3,151,128 |
| b SETTLEMENT INCOME | | | | | 481,000 |
| c SOFTWARE LIMITATION: REVERSE GILTI INVEST INCOME FLOWING THRU AS BOOK | | | | | -620,369 |
| d SECTION 951A GILTI | | | | | 620,369 |
| e | | | | | |
| 12 Subtotal. Add columns (b), (d), and (e) | | 0 | | 274,861,863 | 4,384,043 |

13 **Total.** Add line 12, columns (b), (d), and (e) . . . . . 13 279,245,906
(See worksheet in line 13 instructions to verify calculations.)

## Part XV-B Relationship of Activities to the Accomplishment of Exempt Purposes

| Line No. ▼ | Explain below how each activity for which income is reported in column (e) of Part XV-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See instructions.) |
|---|---|
| 1 A | PROGRAM-RELATED INTEREST INCOME |
| 4 | TAX EXEMPT INCOME |
| 11 A | RETURNED GRANTS |
| 11 B | SETTLEMENT TO RECOVER PRIOR YEAR CHARITABLE EXPENSES |
| 11 E | SOFTWARE LIMITATION: NOT INTENDED TO BE CLASSIFIED AS RELATED ACTIVITY |

## Part XVI Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

| | | | Yes | No |
|---|---|---|---|---|
| **1** | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | | |
| **a** | Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| | **(1)** Cash | 1a(1) | Yes | |
| | **(2)** Other assets | 1a(2) | | No |
| **b** | Other transactions: | | | |
| | **(1)** Sales of assets to a noncharitable exempt organization | 1b(1) | | No |
| | **(2)** Purchases of assets from a noncharitable exempt organization | 1b(2) | | No |
| | **(3)** Rental of facilities, equipment, or other assets | 1b(3) | | No |
| | **(4)** Reimbursement arrangements | 1b(4) | | No |
| | **(5)** Loans or loan guarantees | 1b(5) | Yes | |
| | **(6)** Performance of services or membership or fundraising solicitations | 1b(6) | | No |
| **c** | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | No |

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

| **(a)** Line No. | **(b)** Amount involved | **(c)** Name of noncharitable exempt organization | **(d)** Description of transfers, transactions, and sharing arrangements |
|---|---|---|---|
| 1b(5) | 4,005,596 | CIVICA INC | PROGRAM-RELATED INVESTMENT MADE IN THE FORM OF A LOAN TO PROMOTE AVAILABILITY AND AFFORDABILITY OF ESSENTIAL GENERIC DRUGS. |
| 1a(1) | 8,521 | NATIONAL ASSOC FOR PUBLIC DEFENSE INC | TO DISSEMINATE THE FINDINGS OF A STUDY ANALYZING THE WORKLOADS OF LOUISIANA'S PUBLIC DEFENDERS AND TO PURSUE SIXTH AMENDMENT LITIGATION. |

**2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) (other than section 501(c)(3)) or in section 527? ☑ Yes ☐ No

**b** If "Yes," complete the following schedule.

| **(a)** Name of organization | **(b)** Type of organization | **(c)** Description of relationship |
|---|---|---|
| ACTION NOW INC | 501(C)(4) | LAURA AND JOHN ARNOLD FOUNDATION AND ACTION NOW, INC. HAVE A "HISTORIC AND CONTINUING RELATIONSHIP" BECAUSE OF THE ELEMENT OF COMMON CONTROL. MORE THAN 25% OF THE DIRECTORS OF LAURA AND JOHN ARNOLD FOUNDATION SERVE AS DIRECTORS FOR ACTION NOW, INC. |

**Sign Here**

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

Signature of officer or trustee — Date: 2022-11-15 — Title

May the IRS discuss this return with the preparer shown below? See instructions. ☑ Yes ☐ No

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's Signature | Date | Check if self-employed ☐ | PTIN |
|---|---|---|---|---|
| JENNIFER BECKER HARRIS | | 2022-11-15 | | P00183358 |

Firm's name ▶ CLARK NUBER PS — Firm's EIN ▶ 91-1194016

Firm's address ▶ 10900 NE 4TH STREET SUITE 1400, BELLEVUE, WA 98004 — Phone no. (425) 454-4919

## Additional Data

Return to Form

**Software ID:**

**Software Version:**

**Form 990PF - Special Condition Description:**

| Special Condition Description |
| --- |

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| TAX PREPARATION | 159,305 | 41,309 | 0 | 51,453 |
| OTHER ACCOUNTING FEES | 6,872 | 0 | 0 | 6,872 |

**Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.**

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Grantee's Name | Grantee's Address | Grant Date | Grant Amount | Grant Purpose | Amount Expended Prior Year | Any Diversion Prior Year Grantee? | Dates of Report Prior Year | Date of Verification | Results of Verification |
|---|---|---|---|---|---|---|---|---|---|
| 3 AXIS ADVISORS LLC | 1930 N LAKEMAN DRIVE SUITE 101 CHILLICOTHE, OH 45601 | 2020-06-24 | 250,000 | TO HELP POLICYMAKERS BETTER UNDERSTAND THE ECONOMICS BEHIND THE MEDICAID PRESCRIPTION DRUG PROGRAM. | 172,815 | NO | 3/23/2021; 4/26/2021; 2/17/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| ABT ASSOCIATES INC | 6310 EXECUTIVE BOULEVARD ROCKVILLE, MD 20852 | 2019-10-03 | 237,228 | TO PRODUCE AND PUBLISH A COMPREHENSIVE REVIEW OF THE EVIDENCE BASE AROUND CRISIS RESPONSE MODELS. | 237,228 | NO | 3/24/2020; 9/30/2020; 12/30/2020; 2/1/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| ABT ASSOCIATES INC | 6310 EXECUTIVE BOULEVARD ROCKVILLE, MD 20852 | 2019-06-07 | 497,914 | TO CONDUCT A RANDOMIZED CONTROLLED TRIAL TO EVALUATE NEW MODELS OVERSUBSCRIBED DUAL LANGUAGE IMMERSION CHARTER SCHOOLS AND THE STATE'S ELEMENTARY AND HIGH SCHOOL CHARTER SCHOOLS. | 497,914 | NO | 1/22/2020; 4/20/2020; 7/28/2020; 10/26/2020; 1/26/2021; 4/8/21; 6/2/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| ABT ASSOCIATES INC | 6310 EXECUTIVE BOULEVARD ROCKVILLE, MD 20852 | 2019-10-08 | 428,034 | FOR THE EXTENDED FOLLOW-UP OF TWO RANDOMIZED CONTROLLED TRIALS TO EVALUATE THE IMPACT OF YEAR UP'S PROFESSIONAL TRAINING CORPS. | 189,478 | NO | 3/20/2020; 9/30/2020; 12/30/2020; 2/8/2021; 3/9/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| ANN ARBOR ALGORITHMS INC | 744 EAGLE RIDGE DR ANN ARBOR, MI 48103 | 2021-03-04 | 60,000 | TO SUPPORT SCIENTIFIC RESEARCH IN THE PUBLIC INTEREST | 60,000 | NO | 2/14/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| BIO PUBLISHING GROUP LIMITED | SHA HOUSE 2 WALLACE AVENUE LONDON WC1H 1JP UK | 2020-12-23 | 250,000 | TO SUPPORT INVESTIGATIVE JOURNALISM EFFORTS THAT RELY ON EVIDENCE-BASED POLICY FINDINGS TO IMPROVE HEALTHCARE DELIVERY SYSTEMS. THE GRANT AGREEMENT WAS MADE IN 2020, BUT THE FIRST PAYMENT WAS MADE IN 2021. | 75,370 | NO | 1/31/2022; 2/28/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| CARDIFF UNIVERSITY | 30-36 NEWPORT ROAD CARDIFF WALES CF24 0DE UK | 2020-05-07 | 100,000 | TO ADVOCATE FOR GREATER USED OF REGISTERED REPORTS, A PUBLISHING FORMAT DESIGNED TO ELIMINATE A VARIETY OF QUESTIONABLE RESEARCH PRACTICES, WHILE ALLOWING FLEXIBILITY TO REPORT UNEXPECTED FINDINGS. | 58,058 | NO | 6/8/2021; 12/12/2021; 2/16/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| CHARTER FUND INC | 10991 W 120TH AVENUE SUITE 100 BROOMFIELD, CO 80021 | 2016-02-22 | 11,000,000 | TO SUPPORT THE EXPANSION AND REPLICATION OF HIGH-QUALITY SCHOOLS IN CANADA. THE GRANT WAS MADE IN THE FORM OF A LOAN; THE PRINCIPAL AMOUNT EXPENDED CAN EXCEED THE GRANT AMOUNT PAID BASED ON THE YEAR-END REPORT TIMING FROM THE GRANTEE. | 11,047,569 | NO | 6/30/2017; 9/26/2016; 4/17/2019; 4/15/2020; 4/16/2020; 6/28/2020; 7/29/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| CHARTER FUND INC | 10991 W 120TH AVENUE SUITE 100 BROOMFIELD, CO 80021 | 2015-07-07 | 6,000,000 | TO SUPPORT CONTINUED INVESTMENTS IN HIGH-PERFORMING CHARTER SCHOOLS. | 6,000,000 | NO | 2/11/2016; 7/11/2017; 3/30/2018; 3/29/2019; 4/15/2020; 4/16/2020; 4/13/2021; 2/24/2021; | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| CHARTER FUND INC | 10991 W 120TH AVENUE SUITE 100 BROOMFIELD, CO 80021 | 2018-07-19 | 4,100,000 | TO SUPPORT THE CHARTER SCHOOL GROWTH FUND. THIS PROGRAM-RELATED INVESTMENT WAS MADE IN THE FORM OF A LOAN; THE PRINCIPAL OF THE LOAN WAS $4,100,000, OF WHICH $1,150,301 WAS REPAID IN 2020 AND $2,078,298 IN 2021. | 4,100,000 | NO | 9/23/2019; 7/31/2020; 08/16/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| CNYCA INC | 36 SOUTH STATE STREET 22ND FLOOR SALT LAKE CITY, UT 84111 | 2018-09-04 | 1,000,000 | TO PROMOTE AVAILABILITY AND AFFORDABILITY OF ESSENTIAL GENERIC DRUGS. | 1,000,000 | NO | 1/15/2019; 5/20/2019; 9/8/2021; 06/15/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| CNYCA INC | 36 SOUTH STATE STREET 22ND FLOOR SALT LAKE CITY, UT 84111 | 2018-09-04 | 4,005,590 | TO PROMOTE AVAILABILITY AND AFFORDABILITY OF ESSENTIAL GENERIC DRUGS. THIS PROGRAM-RELATED INVESTMENT WAS MADE IN THE FORM OF A LOAN. | 791,904 | NO | 1/15/2019; 5/20/2019; 9/8/2021; 06/15/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| CLOSEOLOGY INC | 512 E RIVERSIDE DRIVE SUITE 100 AUSTIN, TX 78704 | 2021-03-22 | 60,000 | TO SUPPORT SCIENTIFIC RESEARCH IN THE PUBLIC INTEREST | 60,000 | NO | 6/2/2021; 2/22/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| CORE DIRECTIONAL SOLUTIONS LLC | 689 UNION STREET HUDSON, OH 44236 | 2018-10-29 | 221,388 | TO ASSESS THE PUBLIC SAFETY ASSESSMENT TM PRETRIAL RISK ASSESSMENT TOOL. | 221,386 | NO | 12/1/2019; 3/18/2020; 6/16/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| DENVER PFS LLC | 1000 BROKEN LAND PARKWAY SUITE 700 COLUMBIA, MD 21044 | 2016-02-19 | 1,700,000 | TO PROVIDE PERMANENT SUPPORTIVE HOUSING SERVICES TO APPROXIMATELY 250 CHRONICALLY HOMELESS INDIVIDUALS. THIS IS A DEBT PROGRAM-RELATED INVESTMENT, WHICH WAS COMPLETELY REPAID IN 2021. | 1,700,000 | NO | QUARTERLY REPORTS FROM 12/31/2016 THROUGH 12/31/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| HEALTH CARE COST INSTITUTE INC | 1100 G STREET NW SUITE 300 WASHINGTON, DC 20005 | 2020-06-03 | 216,647 | TO RESEARCH THE DIFFERENCE IN MEDICARE RATES VERSUS COMMERCIAL PRICES FOR PROVIDERS. | 216,647 | NO | 1/29/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| HEALTH CARE COST INSTITUTE INC | 1100 G STREET NW SUITE 300 WASHINGTON, DC 20005 | 2020-08-07 | 1,000,000 | TO PROVIDE GENERAL OPERATING SUPPORT. | 625,000 | NO | 6/29/2021; 2/24/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| HEALTH MANAGEMENT ASSOCIATES INC | 120 N WASHINGTON SQUARE SUITE 900 LANSING, MI 48933 | 2019-09-14 | 208,745 | TO ANALYZE NON-HEALTH RELATED SUPPLEMENTAL BENEFITS IN MEDICARE ADVANTAGE PLANS. | 208,745 | NO | 2/13/2020; 7/31/2020; 1/8/2021; 7/7/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| HEALTH MANAGEMENT ASSOCIATES INC | 120 N WASHINGTON SQUARE SUITE 900 LANSING, MI 48933 | 2019-08-14 | 713,766 | TO SUPPORT A NOVEL POLICY PLATFORM AIMED AT INCREASING INTEGRATION BETWEEN MEDICARE AND MEDICAID FOR DUAL ELIGIBLES. | 713,766 | NO | 2/13/2020; 7/27/2020; 10/29/2020; 8/4/2021; 11/10/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| HEALTH MANAGEMENT ASSOCIATES INC | 120 N WASHINGTON SQUARE SUITE 900 LANSING, MI 48933 | 2020-09-09 | 450,000 | TO RESEARCH AND IDENTIFY POLICY OPTIONS FOR ADVANCING EFFICIENCY AND SAVINGS IN MEDICARE. | 398,672 | NO | 7/2/2021; 3/7/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| IMMAQ INTERNATIONAL LLC | 10420 LITTLE PATUXENT PKWY SUITE 300 COLUMBIA, MD 21044 | 2018-04-18 | 226,792 | TO FUND A RANDOMIZED CONTROLLED TRIAL OF A PROGRAM FOR NEW UNEMPLOYMENT INSURANCE CLAIMANTS IN NEVADA. | 226,792 | NO | 9/16/2019; 12/18/2019; 2/19/2020; 3/8/2020; 12/16/2020; 9/16/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| IMMAQ INTERNATIONAL LLC | 10420 LITTLE PATUXENT PKWY SUITE 300 COLUMBIA, MD 21044 | 2020-07-06 | 167,759 | TO USE A HUMAN-CENTERED DESIGN APPROACH TO UNDERSTAND HOW DUAL ELIGIBLE BENEFICIARIES VIEW INTEGRATION ON THE LACK THEREOF. | 167,759 | NO | 7/31/2020; 12/1/2020; 12/31/2020; 9/21/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| INTEGRATED PROGRAMS FOR HUMANITARIAN SYSTEMS INC | 1223 NORTH SOUTH KING BLVD MANHATTAN BEACH, CA 90266 | 2021-04-22 | 200,000 | TO HELP IDENTIFY MONOPOLISTIC HEALTH SYSTEMS THAT GAINED LARGE MARKET SHARE AND RAISED PRICES AND/OR QUANTIFY THE IMPACT OF THAT MARKET MANIPULATION. | 194,091 | NO | 2/28/2022; 3/22/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| KNG HEALTH CONSULTING LLC | 6110 EXECUTIVE BOULEVARD SUITE 770 ROCKVILLE, MD 20852 | 2021-10-08 | 275,000 | TO CONFIRM PERFORMANCE ON UTILIZATION, SPENDING, AND HEALTH OUTCOMES FOR THE ACCOUNTABLE HEALTH COMMUNITIES MEDICARE ADVANTAGE, ACCOUNTABLE CARE ORGANIZATIONS, AND FEE-FOR-SERVICE MEDICARE. | 47,400 | NO | 2/28/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| LAURA AND JOHN ARNOLD FOUNDATION | 1717 WEST JEFFERSON STREET SUITE 1000 HOUSTON, TX 77027 | 2014-03-19 | 1,350 | TO SUPPORT EVIDENCE-BASED, MULTI-DISCIPLINARY INITIATIVES. | 1,008 | NO | 20/14; 12/31/2015; 12/31/2016; 12/31/2017; 12/31/2018; 12/31/2019; 12/31/2020 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| LONDON SCHOOL OF ECONOMICS AND POLITICAL SCIENCE | HOUGHTON STREET LONDON WC2A 2AE UK | 2021-06-23 | 166,392 | TO SUPPORT IDENTIFICATION OF POLICIES TO REDUCE TAX EVASION BY HIGH-INCOME EARNERS. | 115,216 | NO | 3/3/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| MANATT HEALTH STRATEGIES LLC | 1050 CONNECTICUT AVENUE WASHINGTON, DC 20010 | 2020-08-18 | 184,940 | TO SUPPORT THE DEVELOPMENT OF A PLAYBOOK FOR STRONGER IMPLEMENTATION OF STATE POLICIES FOR PHARMACIST PRESCRIBED BIRTH CONTROL. | 184,940 | NO | 02/12/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| MANATT HEALTH STRATEGIES LLC | 1050 CONNECTICUT AVENUE WASHINGTON, DC 20010 | 2021-07-26 | 176,260 | TO RESEARCH HOW PROVIDER PAYMENT INEQUITIES IMPACT RACIAL AND ETHNIC INEQUITIES. | 73,883 | NO | 1/18/2022; 2/25/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| MATHEMATICA INC | 600 ALEXANDER PARK PRINCETON, NJ 08540 | 2018-04-04 | 336,693 | TO EVALUATE THE IMPACT OF EDUCATION REFORMS IN WASHINGTON, D.C. ON STUDENT OUTCOMES. | 336,693 | NO | 9/1/2018; 2/19/2019; 2/28/2020; 6/3/2020 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| MATHEMATICA INC | 600 ALEXANDER PARK PRINCETON, NJ 08540 | 2018-12-28 | 196,514 | TO EXTEND A LONG-TERM FOLLOW-UP OF A RANDOMIZED CONTROLLED TRIAL EVALUATION OF KIPP CHARTER MIDDLE SCHOOLS. | 196,514 | NO | 10/31/2019; 2/20/2020; 8/24/2020; 02/09/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| MATHEMATICA INC | 600 ALEXANDER PARK PRINCETON, NJ 08540 | 2019-12-21 | 299,500 | TO FUND A RANDOMIZED CONTROLLED TRIAL OF THE FEDERAL JOB CORPS PROGRAM. | 299,500 | NO | 8/13/2020; 2/26/2020; 4/30/2021; 5/14/2021; 10/04/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| MATHEMATICA INC | 600 ALEXANDER PARK PRINCETON, NJ 08540 | 2019-03-01 | 165,000 | TO CONDUCT LONG-TERM FOLLOW-UP OF A RANDOMIZED CONTROLLED TRIAL OF THE TEEN OPTIONS TO PREVENT PREGNANCY PROGRAM. | 103,215 | NO | 1/29/2020; 2/28/2020; 1/29/2021; 3/24/2021; 9/28/2021; 2/24/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| MATHEMATICA INC | 600 ALEXANDER PARK PRINCETON, NJ 08540 | 2019-08-23 | 632,675 | TO SUPPORT A RANDOMIZED CONTROLLED TRIAL TO EVALUATE A PROGRAM DESIGNED TO REDUCE REPEAT PREGNANCIES. DURING AN ACTIVE GRANT TERM, THE GRANT AMOUNT EXPENDED CAN EXCEED THE GRANT AMOUNT PAID BASED ON THE YEAR-END REPORT TIMING FROM THE GRANTEE. | 723,779 | NO | 2/28/2020; 9/28/2020; 1/29/2021; 5/14/2021; 2/24/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| MATHEMATICA INC | 600 ALEXANDER PARK PRINCETON, NJ 08540 | 2019-12-17 | 579,483 | TO SUPPORT A RANDOMIZED CONTROLLED TRIAL TO EVALUATE A NURSE-TO-MOTHER EDUCATIONAL AND HOME VISITING PROGRAM FOR CHRONICALLY ILL OLDER ADULTS. DURING AN ACTIVE GRANT TERM, THE GRANT AMOUNT EXPENDED CAN EXCEED THE GRANT AMOUNT PAID BASED ON THE YEAR-END REPORT TIMING FROM THE GRANTEE. | 944,311 | NO | 2/11/2020; 6/10/2020; 2/11/2021; 2/1/2022; 2/28/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| MATHEMATICA INC | 600 ALEXANDER PARK PRINCETON, NJ 08540 | 2020-02-04 | 230,814 | TO EXAMINE DUAL-ELIGIBLE SPECIAL NEEDS PROGRAMS. | 230,814 | NO | 6/30/2020; 2/18/2021; 5/6/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| MATHEMATICA INC | 600 ALEXANDER PARK PRINCETON, NJ 08540 | 2021-04-30 | 226,462 | TO SUPPORT EXTENSION OF A RANDOMIZED CONTROLLED TRIAL OF KIPP MIDDLE SCHOOLS AND THEIR LONG-TERM OUTCOMES. | 96,522 | NO | 2/28/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| MEASURED DECISIONS INC | 8105 N 47TH STREET PARADISE VALLEY, AZ 85253 | 2017-06-28 | 284,347 | TO SUPPORT A RANDOMIZED CONTROLLED TRIAL OF BERNIE'S BOOK BANK, A PROGRAM THAT PROVIDES FREE, HIGH-QUALITY BOOKS TO LOW INCOME ELEMENTARY AGED CHILDREN IN GREATER CHICAGO, ILLINOIS. | 207,744 | NO | 12/30/2017; 12/30/2018; 12/31/2019; 4/6/2020; 12/31/2020; 12/31/2021; 1/31/202 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| MEASURED DECISIONS INC | 8105 N 47TH STREET PARADISE VALLEY, AZ 85253 | 2018-05-01 | 323,305 | TO FUND A RANDOMIZED CONTROLLED TRIAL OF READ FOR SUCCESS, A PROGRAM DESIGNED TO IMPROVE READING ACHIEVEMENT FOR ELEMENTARY SCHOOL STUDENTS. | 212,550 | NO | 6/31/2018; 1/1/2020; 12/31/2020; 12/31/2021; 5/16/2022; 12/31/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| NATIONAL ASSOCIATION FOR PUBLIC DEFENSE INC | PO BOX 211 FRANKFORT, KY 40602 | 2016-04-24 | 222,821 | TO DISSEMINATE THE FINDINGS OF A STUDY ANALYZING THE WORKLOADS OF LOUISIANA'S PUBLIC DEFENDERS AND TO PURSUE SIXTH AMENDMENT LITIGATION. | 222,821 | NO | 7/31/2017; 12/14/2018; 12/26/2019; 4/12/2021; 12/31/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| PERSISTENT SURVEILLANCE SYSTEMS LLC | 140 N VALLEY ROAD XENIA, OH 45385 | 2020-03-24 | 3,119,350 | TO CONDUCT A SIX-MONTH PILOT TEST OF THE AERIAL INVESTIGATIVE RESEARCH PROGRAM TO ASSIST THE BALTIMORE CITY POLICE DEPARTMENT. | 3,119,350 | NO | 6/23/2020; 8/31/2020; 11/30/2020; 5/3/2021; 11/30/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| RPM GROUP CONSULTING LLC | 601 POYDRAS STREET SUITE 1875 NEW ORLEANS, LA 70139 | 2019-01-15 | 1,109,879 | TO SUPPORT A PILOT INITIATIVE TO REDUCE LOCAL GOVERNMENTS' RELIANCE ON CRIMINAL FINES AND FEES AS A REVENUE SOURCE. | 1,109,878 | NO | 6/25/2019; 3/18/2020; 1/30/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| RESOURCE DEVELOPMENT ASSOCIATES | 2313 HARRISON STREET OAKLAND, CA 94612 | 2020-01-16 | 227,566 | TO UNDERSTAND TRENDS IN FAILURE TO APPEAR OVER TIME WITH THE SAN FRANCISCO PRETRIAL DIVERSION PROJECT. | 227,566 | NO | 3/31/2020; 9/30/2020; 5/14/2021; 10/08/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| ROSENICK AND GUERRA LLP | 9333 N BROADWAY AVE NILES, IL 60714 | 2021-01-04 | 400,000 | TO SUPPORT LITIGATION AIMED AT IMPROVING PRISON CONDITIONS. | 244,795 | NO | 12/30/2021; 2/28/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| RULO STRATEGIES LLC | 2800 WILSON BOULEVARD SUITE 800 ARLINGTON, VA 22201 | 2020-06-18 | 60,000 | TO CREATE RESOURCES THAT SUPPORT IMPLEMENTATION AND FINANCING OF EVIDENCE-BASED PROGRAMS FOR PRETRIAL DIVERSION. DURING AN ACTIVE GRANT TERM, THE GRANT AMOUNT EXPENDED CAN EXCEED THE GRANT AMOUNT PAID BASED ON THE YEAR-END REPORT TIMING FROM THE GRANTEE. | 68,776 | NO | 10/15/2020; 1/15/2021; 3/14/2022; 3/21/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| SOCIAL INNOVATIONS AND INTERVENTIONS CORPORATION | 55 MURRAY STREET SUITE 400 OTTAWA, ONTARIO K1N 5M5 | 2020-03-27 | 61,823 | TO RIGOROUSLY TEST A REGRESSION DISCONTINUITY AGAINST A RANDOMIZED CONTROLLED TRIAL DESIGN TO ASSESS ITS VALIDITY AND EXPLORE YEAR HORIZONS INTERVENTIONS. DURING AN ACTIVE GRANT TERM, THE GRANT AMOUNT EXPENDED CAN EXCEED THE GRANT AMOUNT PAID BASED ON THE YEAR-END REPORT TIMING FROM THE GRANTEE. | 76,823 | NO | 6/23/2020; 9/30/2020; 1/30/2021; 01/31/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| SOCIAL FINANCE FOR FAMILY LIABILITY 2016 LLC | 2 ATLANTIC AVENUE 3RD FLOOR BOSTON, MA 02110 | 2016-09-19 | 1,000,000 | TO SUPPORT THE CONNECTICUT FAMILY STABILITY PAY FOR SUCCESS PROJECT. THIS PROGRAM-RELATED INVESTMENT WAS MADE IN THE FORM OF A LOAN, WHICH WAS COMPLETELY REPAID IN 2020. | 1,000,000 | NO | QUARTERLY REPORTS FROM 12/31/2016 THROUGH 9/30/2019; 9/8/21 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| SPEIRE HEALTHCARE STRATEGIES LLC | 40 BURTON HILLS BOULEVARD SUITE 400 NASHVILLE, TN 37215 | 2020-02-04 | 211,584 | TO ASSIST STATES WITH THE ALIGNMENT OF SERVICES FOR DUAL-ELIGIBLE MEMBERS THROUGH A SINGLE PLAN FOR MEDICARE AND MEDICAID. | 204,913 | NO | 3/16/2020; 5/15/2020; 9/6/2021; 12/30/2021; 3/14/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| SPEIRE HEALTHCARE STRATEGIES LLC | 40 BURTON HILLS BOULEVARD SUITE 400 NASHVILLE, TN 37215 | 2020-07-30 | 39,879 | TO CREATE A BRIEF OUTLINING POLICY OPTIONS FOR STATES TO ENCOURAGE THEIR ADOPTION OF INTEGRATED MODELS IN LIGHT OF COVID-19. | 39,879 | NO | 9/24/2020; 9/6/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| STEALTH WELLNESS HUMAN TECHNOLOGIES COMMERCIAL DOC | 12100 WILSHIRE BOULEVARD SUITE 1800 LOS ANGELES, CA 90025 | 2017-06-27 | 1,840,260 | TO SUPPORT THE DEVELOPMENT OF FREE, OPEN-SOURCE CRYPTOGRAPHIC TOOLS THAT WILL ENABLE RESEARCHERS TO SECURELY CONDUCT STUDIES THAT USE SENSITIVE, PRIVATE DATASETS. REFUND OF $89,157 WAS RECEIVED IN MARCH 2021. | 1,840,268 | NO | 1/17/2018; 1/15/2019; 1/18/2020; 12/29/2020; 11/30/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| THE ABEL FOUNDATION INC | 111 S CALVERT STREET SUITE 2300 BALTIMORE, MD 21202 | 2020-05-13 | 100,000 | TO SUPPORT EVIDENCE-BASED LAW ENFORCEMENT STRATEGIES. | 100,000 | NO | 3/15/2021 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| THE AMERICAN LEGION | 700 N PENNSYLVANIA INDIANAPOLIS, IN 46204 | 2019-07-22 | 375,000 | TO SUPPORT ADVOCACY FOR INCREASED ACCOUNTABILITY IN HIGHER EDUCATION, TO IMPROVE OUTCOMES FOR STUDENT VETERANS. | 320,359 | NO | 2/6/2020; 7/30/2021; 8/5/2021; 2/28/2022 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| UNIVERSITY COLLEGE LONDON | 20 GORDON STREET LONDON, LONDON WC1E 6BT UK | 2016-12-20 | 122,712 | TO PARTNER WITH THE UNIVERSITY OF MASSACHUSETTS TO ASSESS THE OVERALL ENFORCEMENT EFFECTS OF MINIMUM WAGE POLICIES IN THE UNITED STATES. REFUND OF $4,460 WAS RECEIVED IN 2022. | 118,252 | NO | 11/15/2017; 11/13/2018; 11/13/2020; 11/11/2020 | | THE GRANTEE HAS NO REASON TO DOUBT THE ACCURACY OF RELIABILITY OF THE REPORT FROM THE GRANTEE; THEREFORE, NO INDEPENDENT VERIFICATION OF THE REPORT WAS MADE. |
| WAXMAN CONSULTING INC | 1150 CONNECTICUT AVENUE NW SUITE 800 WASHINGTON, DC 20036 | 2019-08-29 | 916,380 | TO PROVIDE INFORMATION AND TECHNICAL SUPPORT TO HELP POLICYMAKERS

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Identifier | Return Reference | Explanation |
|---|---|---|
| | SECTION VII-A, LINE 8B | THE DISTRICT OF COLUMBIA DOES NOT REQUIRE A COPY OF THE FORM 990-PF TO BE SENT TO THE OFFICE OF TAX AND REVENUE. THE LAURA AND JOHN ARNOLD FOUNDATION DOES PLAN TO SEND A COPY OF THE FORM 990-PF TO THE PROPER CALIFORNIA, NEW YORK, OKLAHOMA AND TEXAS AGENCIES. |
| | SECTION VI-A, LINE 11, SCHEDULE OF CONTROLLED ENTITIES | NAME OF CONTROLLED ENTITY: TS IMPACT, INC. EMPLOYER ID: 98-1207798ADDRESS: 190 ELGIN AVENUE GEORGE TOWN, GRAND CAYMAN, CAYMAN ISLANDS KY1-9005EXCESS BUSINESS HOLDING [ ] YES [X ] NOCONTROL FOR THIS LIMITED PURPOSE IS DEEMED TO EXIST SOLELY BY VIRTUE OF ARNOLD VENTURES INC.'S BOARD COMPOSITION OVERLAPPING WITH THE FOUNDATION'S BOARD COMPOSITION.---------- NAME OF CONTROLLED ENTITY: HOFFER CO-INVEST, LPEMPLOYER ID: 46-3412190ADDRESS: 2100 MCKINNEY AVENUE, SUITE 1500 DALLAS, TX 75201EXCESS BUSINESS HOLDING [ ] YES [X ] NOTRANSFER FROM CONTROLLED ENTITY: $1,050,000DESCRIPTION: DISTRIBUTIONCONTROL FOR THIS LIMITED PURPOSE IS DEEMED TO EXIST SOLELY BY VIRTUE OF ARNOLD VENTURES INC.'S BOARD COMPOSITION OVERLAPPING WITH THE FOUNDATION'S BOARD COMPOSITION.---------- NAME OF CONTROLLED ENTITY: ACTION NOW INC. EMPLOYER ID: 45-4083809ADDRESS: 1717 WEST LOOP SOUTH, SUITE 1800 HOUSTON, TX 77027-3048EXCESS BUSINESS HOLDING [ ] YES [X ] NOCONTROL FOR THIS LIMITED PURPOSE IS DEEMED TO EXIST SOLELY BY VIRTUE OF ARNOLD VENTURES INC.'S BOARD COMPOSITION OVERLAPPING WITH THE FOUNDATION'S BOARD COMPOSITION.---------- NAME OF CONTROLLED ENTITY: ARNOLD VENTURES INC.EMPLOYER ID: 37-1906348ADDRESS: 1717 WEST LOOP SOUTH, SUITE 1800 HOUSTON, TX 77027-3048EXCESS BUSINESS HOLDING [ ] YES [X ] NOCONTROL FOR THIS LIMITED PURPOSE IS DEEMED TO EXIST SOLELY BY VIRTUE OF ARNOLD VENTURES INC.'S BOARD COMPOSITION OVERLAPPING WITH THE FOUNDATION'S BOARD COMPOSITION.---------- NAME OF CONTROLLED ENTITY: GS HORIZON ENVIRONMENTAL & CLIMATE SOLUTIONS LPEMPLOYER ID: ADDRESS: P.O. BOX 309, UGLAND HOUSE GRAND CAYMAN, GRAND CAYMAN, CAYMAN ISLANDS KY1-1104EXCESS BUSINESS HOLDING [ ] YES [X ] NOTRANSFER TO CONTROLLED ENTITY: $3,000,000DESCRIPTION: CONTRIBUTIONCONTROL FOR THIS LIMITED PURPOSE IS DEEMED TO EXIST SOLELY BY VIRTUE OF ARNOLD VENTURES INC.'S BOARD COMPOSITION OVERLAPPING WITH THE FOUNDATION'S BOARD COMPOSITION. |

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Name of Bond | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| CORPORATE BOND 4 | 4,909,425 | 4,909,425 |
| CORPORATE BOND 10 | 8,866,346 | 8,866,346 |
| CORPORATE BOND 11 | 4,712,400 | 4,712,400 |
| CORPORATE BOND 12 | 6,103,429 | 6,103,429 |
| CORPORATE BOND 13 | 7,054,286 | 7,054,286 |
| CORPORATE BOND 14 | 15,467,389 | 15,467,389 |
| CORPORATE BOND 16 | 52,000,000 | 52,000,000 |
| CORPORATE BOND 17 | 22,040,800 | 22,040,800 |
| CORPORATE BOND 18 | 740,071 | 740,071 |
| CORPORATE BOND 19 | 3,360,000 | 3,360,000 |
| CORPORATE BOND 20 | 23,055,450 | 23,055,450 |
| CORPORATE BOND 21 | 35,700,893 | 35,700,893 |
| CORPORATE BOND 22 | 8,916,200 | 8,916,200 |
| CORPORATE BOND 23 | 27,546,794 | 27,546,794 |
| CORPORATE BOND 24 | 1,467,530 | 1,467,530 |
| CORPORATE BOND 25 | 2,105,000 | 2,105,000 |
| CORPORATE BOND 26 | 3,209,250 | 3,209,250 |

**TY 2021 IRS 990 e-File Render**

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| PUBLICLY TRADED SECURITY 1 | 204,570,416 | 204,570,416 |
| PUBLICLY TRADED SECURITY 2 | 156,915,517 | 156,915,517 |
| PUBLICLY TRADED SECURITY 3 | 129,869,783 | 129,869,783 |
| PUBLICLY TRADED SECURITY 5 | 47,149,326 | 47,149,326 |
| PUBLICLY TRADED SECURITY 6 | 47,223,389 | 47,223,389 |
| PUBLICLY TRADED SECURITY 8 | 1,183,600 | 1,183,600 |
| PUBLICLY TRADED SECURITY 10 | 125,884,254 | 125,884,254 |
| PUBLICLY TRADED SECURITY 11 | 34,768,501 | 34,768,501 |
| PUBLICLY TRADED SECURITY 12 | 63,702,372 | 63,702,372 |
| PUBLICLY TRADED SECURITY 13 | 184,665,134 | 184,665,134 |
| PUBLICLY TRADED SECURITY 21 | 2,847,695 | 2,847,695 |
| PUBLICLY TRADED SECURITY 22 | 19,608,864 | 19,608,864 |
| PUBLICLY TRADED SECURITY 24 | 1,547,477 | 1,547,477 |
| PUBLICLY TRADED SECURITY 25 | 20,006,040 | 20,006,040 |
| PUBLICLY TRADED SECURITY 26 | 1,094,800 | 1,094,800 |
| PUBLICLY TRADED SECURITY 27 | 2,119,000 | 2,119,000 |
| PUBLICLY TRADED SECURITY 28 | 18,712,716 | 18,712,716 |
| PUBLICLY TRADED SECURITY 30 | 1,207,200 | 1,207,200 |
| PUBLICLY TRADED SECURITY 31 | 1,033,700 | 1,033,700 |
| PUBLICLY TRADED SECURITY 32 | 11,884,552 | 11,884,552 |
| PUBLICLY TRADED SECURITY 33 | 14,278,612 | 14,278,612 |
| PUBLICLY TRADED SECURITY 35 | 53,670,935 | 53,670,935 |
| PUBLICLY TRADED SECURITY 36 | 61,745,923 | 61,745,923 |
| PUBLICLY TRADED SECURITY 37 | 18,415,346 | 18,415,346 |
| PUBLICLY TRADED SECURITY 38 | 252,296 | 252,296 |
| PUBLICLY TRADED SECURITY 39 | 517,280 | 517,280 |
| PUBLICLY TRADED SECURITY 40 | 19,703,544 | 19,703,544 |
| PUBLICLY TRADED SECURITY 41 | 17,493,875 | 17,493,875 |
| PUBLICLY TRADED SECURITY 44 | 562,410 | 562,410 |
| PUBLICLY TRADED SECURITY 45 | 6,613,789 | 6,613,789 |
| PUBLICLY TRADED SECURITY 46 | 18,160,495 | 18,160,495 |
| PUBLICLY TRADED SECURITY 47 | 17,713,198 | 17,713,198 |
| PUBLICLY TRADED SECURITY 49 | 59,769,802 | 59,769,802 |
| PUBLICLY TRADED SECURITY 50 | 1,215,000 | 1,215,000 |
| PUBLICLY TRADED SECURITY 51 | 1,171,840 | 1,171,840 |
| PUBLICLY TRADED SECURITY 52 | 467,800 | 467,800 |
| PUBLICLY TRADED SECURITY 53 | 15,179,662 | 15,179,662 |
| PUBLICLY TRADED SECURITY 54 | 21,330,229 | 21,330,229 |
| PUBLICLY TRADED SECURITY 55 | 29,805,602 | 29,805,602 |
| PUBLICLY TRADED SECURITY 56 | 16,759,764 | 16,759,764 |
| PUBLICLY TRADED SECURITY 57 | 9,514,940 | 9,514,940 |
| PUBLICLY TRADED SECURITY 58 | 28,255,250 | 28,255,250 |

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Category/ Item | Listed at Cost or FMV | Book Value | End of Year Fair Market Value |
|---|---|---|---|
| ALTERNATIVE INVESTMENT 4 | FMV | 4,564,376 | 4,564,376 |
| ALTERNATIVE INVESTMENT 5 | FMV | 5,855,252 | 5,855,252 |
| ALTERNATIVE INVESTMENT 59 | FMV | 12,872,813 | 12,872,813 |
| ALTERNATIVE INVESTMENT 62 | FMV | 20,833,000 | 20,833,000 |
| ALTERNATIVE INVESTMENT 64 | FMV | 7,148,900 | 7,148,900 |
| ALTERNATIVE INVESTMENT 67 | FMV | 18,849,347 | 18,849,347 |
| ALTERNATIVE INVESTMENT 69 | FMV | 4,828,152 | 4,828,152 |
| ALTERNATIVE INVESTMENT 70 | FMV | 23,406,516 | 23,406,516 |
| ALTERNATIVE INVESTMENT 71 | FMV | 13,813,860 | 13,813,860 |
| ALTERNATIVE INVESTMENT 74 | FMV | 8,815,112 | 8,815,112 |
| ALTERNATIVE INVESTMENT 76 | FMV | 7,826,087 | 7,826,087 |
| ALTERNATIVE INVESTMENT 77 | FMV | 11,527,362 | 11,527,362 |
| ALTERNATIVE INVESTMENT 8 | FMV | 4,688,622 | 4,688,622 |
| ALTERNATIVE INVESTMENT 13 | FMV | 1,030,637 | 1,030,637 |
| ALTERNATIVE INVESTMENT 14 | FMV | 6,149,845 | 6,149,845 |
| ALTERNATIVE INVESTMENT 15 | FMV | 1,981,475 | 1,981,475 |
| ALTERNATIVE INVESTMENT 19 | FMV | 419,978 | 419,978 |
| ALTERNATIVE INVESTMENT 81 | FMV | 34,816,608 | 34,816,608 |
| ALTERNATIVE INVESTMENT 55 | FMV | 31,096,348 | 31,096,348 |
| ALTERNATIVE INVESTMENT 16 | FMV | 52,902,508 | 52,902,508 |
| ALTERNATIVE INVESTMENT 46 | FMV | 96,944,580 | 96,944,580 |
| ALTERNATIVE INVESTMENT 10 | FMV | 161,595,124 | 161,595,124 |
| ALTERNATIVE INVESTMENT 61 | FMV | 18,068,450 | 18,068,450 |
| ALTERNATIVE INVESTMENT 82 | FMV | 7,795,648 | 7,795,648 |
| ALTERNATIVE INVESTMENT 83 | FMV | 4,004,651 | 4,004,651 |
| ALTERNATIVE INVESTMENT 44 | FMV | 84,335,441 | 84,335,441 |
| ALTERNATIVE INVESTMENT 50 | FMV | 41,024,407 | 41,024,407 |
| ALTERNATIVE INVESTMENT 23 | FMV | 11,928,581 | 11,928,581 |
| ALTERNATIVE INVESTMENT 51 | FMV | 20,279,535 | 20,279,535 |
| ALTERNATIVE INVESTMENT 24 | FMV | 643,045 | 643,045 |
| ALTERNATIVE INVESTMENT 85 | FMV | 2,631,427 | 2,631,427 |
| ALTERNATIVE INVESTMENT 78 | FMV | 27,130,078 | 27,130,078 |
| ALTERNATIVE INVESTMENT 26 | FMV | 12,250 | 12,250 |
| ALTERNATIVE INVESTMENT 27 | FMV | 12,106 | 12,106 |
| ALTERNATIVE INVESTMENT 28 | FMV | 30,859,121 | 30,859,121 |
| ALTERNATIVE INVESTMENT 29 | FMV | 163,818 | 163,818 |
| ALTERNATIVE INVESTMENT 30 | FMV | 9,944,690 | 9,944,690 |
| ALTERNATIVE INVESTMENT 31 | FMV | 2,516,682 | 2,516,682 |
| ALTERNATIVE INVESTMENT 84 | FMV | 24,998,692 | 24,998,692 |
| ALTERNATIVE INVESTMENT 86 | FMV | 54,323,820 | 54,323,820 |
| ALTERNATIVE INVESTMENT 54 | FMV | 71,782,659 | 71,782,659 |
| ALTERNATIVE INVESTMENT 65 | FMV | 20,161,608 | 20,161,608 |

| Category/ Item | Listed at Cost or FMV | Book Value | End of Year Fair Market Value |
|---|---|---|---|
| ALTERNATIVE INVESTMENT 32 | FMV | 230,360 | 230,360 |
| ALTERNATIVE INVESTMENT 17 | FMV | 8,122,920 | 8,122,920 |
| ALTERNATIVE INVESTMENT 56 | FMV | 7,022,960 | 7,022,960 |
| ALTERNATIVE INVESTMENT 18 | FMV | 9,037,865 | 9,037,865 |
| ALTERNATIVE INVESTMENT 60 | FMV | 17,618,083 | 17,618,083 |
| ALTERNATIVE INVESTMENT 21 | FMV | 12,736 | 12,736 |
| ALTERNATIVE INVESTMENT 22 | FMV | 387,996 | 387,996 |
| ALTERNATIVE INVESTMENT 89 | FMV | 72,319,703 | 72,319,703 |
| ALTERNATIVE INVESTMENT 35 | FMV | 150,974 | 150,974 |
| ALTERNATIVE INVESTMENT 36 | FMV | 903,671 | 903,671 |
| ALTERNATIVE INVESTMENT 39 | FMV | 1,824,040 | 1,824,040 |
| ALTERNATIVE INVESTMENT 40 | FMV | 4,049,997 | 4,049,997 |
| ALTERNATIVE INVESTMENT 41 | FMV | 10,160,359 | 10,160,359 |
| ALTERNATIVE INVESTMENT 87 | FMV | 11,500,000 | 11,500,000 |
| ALTERNATIVE INVESTMENT 42 | FMV | 72,273 | 72,273 |
| ALTERNATIVE INVESTMENT 43 | FMV | 627,945 | 627,945 |
| ALTERNATIVE INVESTMENT 79 | FMV | 24,588,385 | 24,588,385 |
| ALTERNATIVE INVESTMENT 9 | FMV | 5,091,482 | 5,091,482 |
| ALTERNATIVE INVESTMENT 88 | FMV | 19,971,084 | 19,971,084 |
| ALTERNATIVE INVESTMENT 45 | FMV | 3,187,900 | 3,187,900 |
| ALTERNATIVE INVESTMENT 90 | FMV | 225,427,043 | 225,427,043 |

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| LEGAL FEES | 646,434 | 575,269 | 50,175 | 71,165 |

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Description | Beginning of Year - Book Value | End of Year - Book Value | End of Year - Fair Market Value |
|---|---|---|---|
| PROGRAM RELATED INVESTMENTS | 8,849,223 | 5,285,269 | 5,285,269 |
| ACCRUED INTEREST | 4,220,621 | 3,954,715 | 3,954,715 |

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Description | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| DUES AND LICENSES | 13,000 | 0 | 0 | 13,000 |
| PASS-THROUGH PARTNERSHIP EXPENSES | 0 | 4,096,795 | 0 | 0 |
| PASS-THROUGH INVESTMENT EXPENSES | 1,235,164 | 1,235,164 | 0 | 0 |

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Description | Revenue And Expenses Per Books | Net Investment Income | Adjusted Net Income |
|---|---|---|---|
| FOREIGN CURRENCY EXCHANGE (SECTION 988) | 194,629 | 194,629 | |
| EQUITY PARTNERSHIP INVESTMENTS | 54,683,226 | 6,657,545 | |
| ROYALTY | 6,841,653 | 6,841,653 | |
| NON-DIVIDEND DISTRIBUTIONS | 1,325,863 | 0 | |
| PROGRAM RELATED INVESTMENT REVENUE | 386,943 | 386,943 | 386,943 |
| RETURNED GRANTS | 3,151,128 | 0 | 0 |
| SETTLEMENT INCOME | 481,000 | 0 | 0 |
| SOFTWARE LIMITATION: REVERSE GILTI INVEST INCOME FLOWING THRU AS BOOK | -620,369 | | 0 |
| SECTION 951A GILTI | 620,369 | 620,369 | 0 |

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Description | Amount |
|---|---|
| UNREALIZED GAIN | 163,523,494 |
| PRIOR PERIOD ADJUSTMENTS | 11,858 |

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| INVESTMENT MANAGEMENT FEES | 1,327,715 | 1,327,715 | 0 | 0 |
| CONSULTING FOR CHARITABLE ACTIVITIES | 1,195,778 | 0 | 0 | 1,195,778 |
| OTHER PROFESSIONAL FEES | 9,209 | 9,209 | 0 | 0 |

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| EXCISE TAX | 21,858,443 | 0 | 0 | 0 |
| STATE TAX | 1,381,096 | 317,990 | 0 | 0 |
| FOREIGN TAX | 256,350 | 1,961,793 | 0 | 0 |

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Name | US / Foreign Address | EIN | Description | Amount |
|---|---|---|---|---|
| HOFFER CO-INVEST LP | 301 COMMERCE STREET SUITE 3300<br>FORT WORTH, TX 76102 | 46-3412190 | DISTRIBUTION | 0 |
| **Total** | | | | 1,050,000 |

# TY 2021 IRS 990 e-File Render

**Name:** LAURA AND JOHN ARNOLD FOUNDATION

**EIN:** 26-3241764

| Name | US / Foreign Address | EIN | Description | Amount |
|---|---|---|---|---|
| TS IMPACT INC | 190 ELGIN AVENUE GEORGE TOWN, GRAND CAYMAN KY1-9005 CJ | 98-1207798 | CAPITAL CONTRIBUTION | 2,854 |
| GS HORIZON ENVIRONMENTAL & CLIMATE SOLUTIONS LP | PO BOX 309 UGLAND HOUSE GRAND CAYMAN, GRAND CAYMAN KY1-1104 CJ | 000000000 | CAPITAL CONTRIBUTION | 3,000,000 |
| WEST STREET REIP TAX EXEMPT LP | 30 HUDSON STREET 38TH FLOOR JERSEY CITY, NJ 073024600 | 85-4341932 | CAPITAL CONTRIBUTION | 63,000,000 |
| WEST STREET CAPITAL PARTNERS VIII PARALLEL LP | 30 HUDSON STREET 38TH FLOOR JERSEY CITY, NJ 073024600 | 85-3597658 | CAPITAL CONTRIBUTION | 53,400,000 |
| **Total** | | | | 119,402,854 |