

Return of Private Foundation

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

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Open to Public Inspection

Department of the Treasury
Internal Revenue Service

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

Name of foundation The Swaha Foundation		A Employer identification number 83-3505984
Number and street (or P.O. box number if mail is not delivered to street address) PO Box 2214	Room/suite	B Telephone number (see instructions) (303) 596-4283
City or town, state or province, country, and ZIP or foreign postal code Boulder, CO 80306		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here..... <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation ... <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 21,774,521	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (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 <input type="checkbox"/>

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)
1	Contributions, gifts, grants, etc., received (attach schedule)				
2	Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
3	Interest on savings and temporary cash investments				
4	Dividends and interest from securities	393,499	393,499		
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	409,350			
b	Gross sales price for all assets on line 6a	3,477,573			
7	Capital gain net income (from Part IV, line 2)		409,350		
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)	-5,075	3,120		
12	Total. Add lines 1 through 11	797,774	805,969		
13	Compensation of officers, directors, trustees, etc.	84,000			84,000
14	Other employee salaries and wages				
15	Pension plans, employee benefits	8,493			8,868
16a	Legal fees (attach schedule)				
b	Accounting fees (attach schedule)				
c	Other professional fees (attach schedule)	175,777	175,777		
17	Interest				
18	Taxes (attach schedule) (see instructions)	19,404			
19	Depreciation (attach schedule) and depletion				
20	Occupancy				
21	Travel, conferences, and meetings	374			374
22	Printing and publications				
23	Other expenses (attach schedule)	18,529	313		18,216
24	Total operating and administrative expenses.				
	Add lines 13 through 23	306,577	176,090		111,458
25	Contributions, gifts, grants paid	745,700			745,700
26	Total expenses and disbursements. Add lines 24 and 25	1,052,277	176,090		857,158
27	Subtract line 26 from line 12:				
a	Excess of revenue over expenses and disbursements	-254,503			
b	Net investment income (if negative, enter -0-)		629,879		
c	Adjusted net income (if negative, enter -0-)				

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing	3,306		
	2 Savings and temporary cash investments	70,235	288,695	288,695
	3 Accounts receivable ▶ <u>3,120</u>			
	Less: allowance for doubtful accounts ▶ _____	3,120	3,120	3,120
	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)	580,234	611,609	611,609
	b Investments—corporate stock (attach schedule)			
	c Investments—corporate bonds (attach schedule)	957,787	885,064	885,064
	11 Investments—land, buildings, and equipment: basis ▶ _____			
Less: accumulated depreciation (attach schedule) ▶ _____				
12 Investments—mortgage loans				
13 Investments—other (attach schedule)	17,536,426	19,786,033	19,786,033	
14 Land, buildings, and equipment: basis ▶ _____				
Less: accumulated depreciation (attach schedule) ▶ _____				
15 Other assets (describe ▶ _____)	100,000	200,000	200,000	
16 Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	19,251,108	21,774,521	21,774,521	
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 ▶ _____)	48,000	24,000	
	23 Total liabilities (add lines 17 through 22)	48,000	24,000	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here <input checked="" type="checkbox"/> and complete lines 24, 25, 29 and 30.			
	24 Net assets without donor restrictions	19,203,108	21,750,521	
	25 Net assets with donor restrictions			
	Foundations that do not follow FASB ASC 958, check here <input type="checkbox"/> and complete lines 26 through 30.			
	26 Capital stock, trust principal, or current funds			
	27 Paid-in or capital surplus, or land, bldg., and equipment fund			
	28 Retained earnings, accumulated income, endowment, or other funds			
29 Total net assets or fund balances (see instructions)	19,203,108	21,750,521		
30 Total liabilities and net assets/fund balances (see instructions)	19,251,108	21,774,521		

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	19,203,108
2 Enter amount from Part I, line 27a	2	-254,503
3 Other increases not included in line 2 (itemize) ▶ _____	3	2,801,916
4 Add lines 1, 2, and 3	4	21,750,521
5 Decreases not included in line 2 (itemize) ▶ _____	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29	6	21,750,521

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 Sales of Publicly Traded Securities	P	2000-01-01	2021-12-31
b Capital Gains Distributions	P	2000-01-01	2021-12-31
c			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 3,241,119		3,068,223	172,896
b 236,454			236,454
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) 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			172,896
b			236,454
c			
d			
e			

Capital gain net income or (net capital loss) <div style="float: right; border-left: 1px solid black; border-right: 1px solid black; padding: 0 10px;"> { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 } </div>	2	409,350
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 <div style="float: right; border-left: 1px solid black; border-right: 1px solid black; padding: 0 10px;"> } </div>	3	

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

Exempt operating foundations described in section 4940(d)(2), check here [] and enter [] Bracket for line 1a "N/A" on line 1.
1a Date of ruling or determination letter: (attach copy of letter if necessary—see instructions)
b Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) 2
Add lines 1 and 2. 3
Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) 4
Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- 5
Credits/Payments:
a 2021 estimated tax payments and 2020 overpayment credited to 2021 6a 9,964
b Exempt foreign organizations—tax withheld at source 6b
c Tax paid with application for extension of time to file (Form 8868) 6c
d Backup withholding erroneously withheld 6d
7 Total credits and payments. Add lines 6a through 6d 7 9,964
8 Enter any penalty for underpayment of estimated tax. Check here [x] if Form 2220 is attached. 8 119
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 1,090
11 Enter the amount of line 10 to be: Credited to 2022 estimated tax 1,090 Refunded 11

Part VI-A Statements Regarding Activities

1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? Yes No
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition. Yes 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.
1c Did the foundation file Form 1120-POL for this year? Yes No
2 Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. \$ (2) On foundation managers. \$
3 Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$
4 Has the foundation engaged in any activities that have not previously been reported to the IRS? Yes No
If "Yes," attach a detailed description of the activities.
5 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 Yes No
6a Did the foundation have unrelated business gross income of \$1,000 or more during the year? Yes No
6b If "Yes," has it filed a tax return on Form 990-T for this year? Yes No
7 Was there a liquidation, termination, dissolution, or substantial contraction during the year? Yes No
If "Yes," attach the statement required by General Instruction T.
8 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? Yes No
9 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. Yes No
10 Enter the states to which the foundation reports or with which it is registered (see instructions) CO
11 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 Yes No
12 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 Yes No
13 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses. Yes 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.
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address N/A
14 The books are in care of Julie Goldstein Telephone no. (303) 596-4283 Located at PO Box 2214 Boulder CO 803062214 ZIP+4
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? 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

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?
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?
(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)?
(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.)
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
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?
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? 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.)
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?
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.)
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?
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?

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

- 5a** During the year did the foundation pay or incur any amount to:
 - (1)** Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?
 - (2)** Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?
 - (3)** Provide a grant to an individual for travel, study, or other similar purposes?
 - (4)** Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions
 - (5)** Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?
- 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
- 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?
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?
- b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?
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?
- b** If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction?
- 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?

	Yes	No
5a(1)		No
5a(2)		No
5a(3)		No
5a(4)		No
5a(5)		No
5b		
5d		
6a		No
6b		No
7a		No
7b		
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
Julie Goldstein PO Box 2214 Boulder, CO 803062214	President 20.00	84,000		

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.

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
Align Impact 429 Santa Monica Blvd 500 Santa Monica, C A 90401	Investment Mgmt	81,250

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

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	One Acre Fund US - investing in farmers to help them increase their yields and their profits. When farmers become more productive, they help feed healthy communities and create thriving economies. They also reduce environmental pressure by doing more with less land.	100,000
2		
	All other program-related investments. See instructions.	
3		

Total. Add lines 1 through 3 ▶

100,000

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	17,639,841
b	Average of monthly cash balances.	1b	134,903
c	Fair market value of all other assets (see instructions).	1c	4,486,910
d	Total (add lines 1a, b, and c).	1d	22,261,654
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	
3	Subtract line 2 from line 1d.	3	22,261,654
4	Cash deemed held for charitable activities. Enter 1.5% (0.015) of line 3 (for greater amount, see instructions).	4	333,925
5	Net value of noncharitable-use assets. Subtract line 4 from line 3.	5	21,927,729
6	Minimum investment return. Enter 5% (0.05) of line 5.	6	1,096,386

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	1,096,386
2a	Tax on investment income for 2021 from Part V, line 5.	2a	8,755
b	Income tax for 2021. (This does not include the tax from Part V.).	2b	
c	Add lines 2a and 2b.	2c	8,755
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	1,087,631
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	1,087,631
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XII, line 1.	7	1,087,631

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				1,087,631
2 Undistributed income, if any, as of the end of 2021:				
a Enter amount for 2020 only.			324,841	
b Total for prior years: 20___, 20___, 20___				
3 Excess distributions carryover, if any, to 2021:				
a From 2016.				
b From 2017.				
c From 2018.				
d From 2019.				
e From 2020.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2021 from Part XI, line 4: ▶ \$ <u>957,158</u>				
a Applied to 2020, but not more than line 2a			324,841	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2021 distributable amount				632,317
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2021. (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
b Prior years' undistributed income. Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b. Taxable amount—see instructions.				
e Undistributed income for 2019. Subtract line 4a from line 2a. Taxable amount—see instructions.				
f Undistributed income for 2021. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2022				455,314
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions).				
8 Excess distributions carryover from 2016 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2022. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9:				
a Excess from 2017				
b Excess from 2018				
c Excess from 2019.				
d Excess from 2020				
e Excess from 2021				

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)

2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

	Tax year				(e) Total
	(a) 2021	(b) 2020	(c) 2019	(d) 2018	
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).)

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.

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> Partners in Health 800 Boylston Street Ste 300 Boston, MA 02199	N/A	P C	General Support	15,000
Pathfinders 6550 Camp Bowie Blvd Suite 111 Fort Worth, TX 76116	N/A	P C	General Support	2,500
AJWS 45 West 36th Street New York, NY 10018	N/A	P C	General Support	100,000
Girl Rising 28 Verandah Place Brooklyn, NY 11201	N/A	P C	General Support	50,000
Conservation Colorado Education Fun 1536 Wynkoop Street Suite 510 Denver, CO 80202	N/A	P C	General Support	30,000
Congregation Nevei Kodesh 1925 Glenwood Dr Boulder, CO 80304	N/A	P C	General Support	5,000
Bridge House 4150 Earhart Boulevard New Orleans, LA 70125	N/A	P C	General Support	5,000
Valley Settlement 1901 Grand Avenue Suite 206 Glenwood Springs, CO 81601	N/A	P C	General Support	10,000
Lewis Clark College 615 S Palatine Hill Road Portland, OR 97219	N/A	P C	General Support	2,000
Moving Traditions 8380 Old York Road Suite 4300 Elkins Park, PA 19027	N/A	P C	General Support	5,000
Rose Andom Center 1330 Fox Street Denver, CO 80204	N/A	P C	General Support	5,000
English in Action PO Box 4856 Basalt, CO 81621	N/A	P C	General Support	1,000
Sounds True Foundation 413 S Arthur Ave Louisville, CO 80027	N/A	P C	General Support	10,000
Protect Our Winters 4676 Broadway Street Boulder, CO 80304	N/A	P C	General Support	10,000
High Country News PO Box 1090 Paonia, CO 81428	N/A	P C	General Support	1,000
RESPONSE 405 Castle Creek Road Suite 203 Aspen, CO 81611	N/A	P C	General Support	1,000
Cambodian Children's 2309 Santa Monica Blvd PMB 833 Santa Monica, CA 90404	N/A	P C	General Support	1,200
NDN Collective 408 Knollwood Dr Rapid City, SD 57701	N/A	P C	General Support	25,000
Colorado Wild Public Lands PO Box 1772 Basalt, CO 81621	N/A	P C	General Support	500
Free Flow Foundation PO Box 50153 Jacksonville Beach, FL 32240	N/A	P C	General Support	1,000
40 Schools Inc 3014 Dauphine Street New Orleans, LA 70117	N/A	P C	General Support	100,000
Fred Hutch Cancer Research PO Box 19024 Seattle, WA 98109	N/A	P C	General Support	8,000
Girl Ventures 119 Filbert Street Oakland, CA 94607	N/A	P C	General Support	50,000
Passage Works Institute PO Box 19230 Boulder, CO 80308	N/A	P C	General Support	3,500
Roaring Fork Conservancy PO Box 3349 Basalt, CO 81621	N/A	P C	General Support	500
Style Her Empowered 304 S 1200 E	N/A	P C	General Support	50,000

Salt Lake City, UT 84102				
TGTHR 1440 Pine St Suite B Boulder, CO 80302	N/A	P C	General Support	2,500
Thorne Nature Experience 1466 63rd St Boulder, CO 80303	N/A	P C	General Support	50,000
Tides Foundation 1012 Torney Avenue San Francisco, CA 94129	N/A	P C	General Support	50,000
Uncharted 3532 Franklin St Suite I Denver, CO 80205	N/A	P C	General Support	100,000
Friendship Bridge 1105 Spruce St Boulder, CO 80302	N/A	P C	General Support	50,000
Auburn Seminary 475 Riverside Dr Suite 1800 New York, NY 10115	N/A	P C	General Support	1,000
Total			▶ 3a	745,700
b <i>Approved for future payment</i>				
Total			▶ 3b	

Part XV-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

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

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

9 Net income or (loss) from special events:

10 Gross profit or (loss) from sales of inventory

11 Other revenue:

a Other Investment Income

b Partnership Income

c

d

e

12 Subtotal. Add columns (b), (d), and (e)

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

Table with 5 columns: (a) Business code, (b) Amount, (c) Exclusion code, (d) Amount, (e) Related or exempt function income. Includes rows for various income categories and a total row.

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

Table with 2 columns: 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.

Additional Data

[Return to Form](#)

Software ID: 21013475

Software Version: 2021v4.1

Form 990PF - Special Condition Description:

Special Condition Description

TY 2021 IRS 990 e-File Render**Name:** The Swaha Foundation**EIN:** 83-3505984**Software ID:** 21013475**Software Version:** 2021v4.1

Name of Bond	End of Year Book Value	End of Year Fair Market Value
Duke Energy Corp 3.35% 5/15/22	45,426	45,426
Asian Dev Bk 1.875% 8/10/22		
The Bank of No 2.375% 1/18/23	61,004	61,004
Apple Inc 2.85% 2/23/23		
The European Ba 0.25% 7/10/23		
Citigroup Inc 5/15/24	60,580	60,580
European Invt Bk 0.25% 7/10/23	64,614	64,614
Bank of America 10/22/25	61,548	61,548
Starbucks Corp 2.45% 6/15/26	46,521	46,521
Midamerican Energy 3.1% 5/1/27	58,434	58,434
Equinix Inc 1.55% 3/15/28	4,809	4,809
Verizon Communications 3.875% 2/28/29	44,257	44,257
Pfizer Inc 2.625% 4/1/30	41,795	41,795
Alphabet Inc 1.1% 8/15/30	37,650	37,650
Ypsilanti MI SD 2.44% 5/1/22	60,330	60,330
Triboro Brdg/Tu 3.884% 11/15/22	25,749	25,749
Univ Pitt PA 2.871% 9/15/23	20,728	20,728
Commonwealth FA 2.023% 6/1/24	20,350	20,350
Univ CA 3.159% 5/15/25	21,274	21,274
Interntnl Bk 0.375% 7/28/25	43,788	43,788
JP Morgan Chase 9/16/24	44,769	44,769
European Invt Bk 2.5% 10/15/24	62,499	62,499
Apple Inc 3.0% 6/20/27	58,939	58,939

TY 2021 IRS 990 e-File Render

Name: The Swaha Foundation

EIN: 83-3505984

Software ID: 21013475

Software Version: 2021v4.1

**US Government Securities - End of
Year Book Value:**

149,529

**US Government Securities - End of
Year Fair Market Value:**

149,529

**State & Local Government
Securities - End of Year Book
Value:**

462,080

**State & Local Government
Securities - End of Year Fair
Market Value:**

462,080

TY 2021 IRS 990 e-File Render
Name: The Swaha Foundation

EIN: 83-3505984

Software ID: 21013475

Software Version: 2021v4.1

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
Align Impact Fund II, LP	AT COST	282,759	282,759
Align TMIF II Access Fund LP	AT COST	247,133	247,133
Beneficial Return LLC	AT COST	50,000	50,000
Greenbacker Renewable Energy	AT COST	102,699	102,699
International Columbia US LLC	AT COST		
Low Income Investment Fund	AT COST	197,381	197,381
Rose Affordable Housing V LP	AT COST	254,939	254,939
SJF Ventures Fund V LP	AT COST	58,988	58,988
Sonen Global Sustainable LLC	AT COST	139,876	139,876
UP Fund LP	AT COST	47,500	47,500
Putting America Back to Work Fund	AT COST	186,852	186,852
Odin Capital LP	AT COST	343,285	343,285
Calvert Impact CA 1.5% 3/15/24	FMV	246,997	246,997
Achieve Partners Workforce Fund	AT COST	200,425	200,425
CIM Enterprise Loan Fund LP	AT COST	1,014,107	1,014,107
Colorado Enterprise Fund	AT COST	250,000	250,000
Founders First Capital Partners	AT COST	99,997	99,997
HCAP Partners V	AT COST	83,449	83,449
Impact Venture IV	AT COST	190,549	190,549
Rethink Education III	AT COST	283,211	283,211
Rose Affordable Housing	AT COST	155,000	155,000
Windsail Credit QP Fund	AT COST	163,829	163,829
Zeal Capital Partners Fund I	AT COST	93,885	93,885
Calvert Bond I, 35,690.719 Sh	FMV		
Calvert Short Duration, 30,445.409 Sh	FMV	496,869	496,869
CRA Qualified Investment, 58,259.231 Sh	FMV		
PAX High Yield Bd Inst, 37,211.289 Sh	FMV		
TIAA-CREF Core Impact, 80,946.962 Sh	FMV		
Invesco Cleantech, 14,830 Sh	FMV		
Invesco S&P Global Water, 3,180 Sh	FMV		
iShares Esg Aware MSCI EAFE, 2,592 Sh	FMV	205,960	205,960
iShares Esg Aware MSCI USA, 7,193.210 Sh	FMV	776,147	776,147
iShares MSCI Global, 9,567 Sh	FMV	868,301	868,301
Nuveen ESG Emerging Mkt, 4,090 Sh	FMV	132,074	132,074
Nuveen ESG Mid Cap, 3,673 Sh	FMV	135,717	135,717
Nuveen ESG Small Cap, 19,521 Sh	FMV	820,077	820,077
Vanguard ST Bond, 417 Sh	FMV		
Calvert Emerging Markets, 33,285.964 Sh	FMV	680,698	680,698
Calvert Equity I, 8,597.06 Sh	FMV	842,856	842,856
Calvert International, 32,301.682 Sh	FMV	997,476	997,476
Calvert Mid Cap, 11,288.375 Sh	FMV	541,503	541,503

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
Calvert Small Cap, 25,924.563 Sh	FMV	937,951	937,951
Calvert US Large Cap Core, 34,242.278 Sh	FMV	1,464,200	1,464,200
Calvert US Large Cap Value, 5,525.317 Sh	FMV	175,981	175,981
DFA Em Mkts, 27,777.218 Sh	FMV	284,439	284,439
DFA Intl Sustainability, 74,475.999 Sh	FMV	984,573	984,573
Hartford Global Impact, 32,862.838 Sh	FMV	544,209	544,209
PAX Ellevest Gbl Womens, 18,521.622 Sh	FMV	654,369	654,369
PAX Global Environment, 41,635.703 Sh	FMV	1,057,547	1,057,547
Versus Cap Multi-Man, 18,894.097 Sh	FMV	573,436	573,436
Hannon Armstrong Sus REIT, 8,596.6053 Sh	FMV	456,652	456,652
Iroquois Valley Farmland, 164.041 Sh	FMV	101,377	101,377
CCM Community Impact, 44,894.679 Sh	FMV	472,292	472,292
Invesco MSCI Sustainable, 13,320.3567 Sh	FMV	888,468	888,468

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Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Dues & Memberships	5,500			5,500
Filing Fees	10			10
Marketing	232			232
Miscellaneous Expenses	5,767			5,767
Other Investment Expenses	313	313		
Outside Services	4,420			4,420
Payroll Processing Fee	375			375
Postage & Delivery	106			106
Website	1,806			1,806

TY 2021 IRS 990 e-File Render

Name: The Swaha Foundation

EIN: 83-3505984

Software ID: 21013475

Software Version: 2021v4.1

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
Other Investment Income	3,120	3,120	
Partnership Income	-8,195		

TY 2021 IRS 990 e-File Render

Name: The Swaha Foundation

EIN: 83-3505984

Software ID: 21013475

Software Version: 2021v4.1

Description	Amount
Transfer from Richard C Goldstein Private Foundation	78,102

TY 2021 IRS 990 e-File Render

Name: The Swaha Foundation

EIN: 83-3505984

Software ID: 21013475

Software Version: 2021v4.1

Description	Beginning of Year - Book Value	End of Year - Book Value
Payroll Payable	48,000	24,000

TY 2021 IRS 990 e-File Render

Name: The Swaha Foundation

EIN: 83-3505984

Software ID: 21013475

Software Version: 2021v4.1

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Investment Advisor Fees	175,777	175,777	0	0

TY 2021 IRS 990 e-File Render

Name: The Swaha Foundation

EIN: 83-3505984

Software ID: 21013475

Software Version: 2021v4.1

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Excise Tax	19,404			