

**A** For the 2020 calendar year, or tax year beginning 07-01-2020 , and ending 06-30-2021

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

**C** Name of organization  
STONY BROOK FOUNDATION INC  
  
Doing business as  
  
Number and street (or P.O. box if mail is not delivered to street address) Room/suite  
230 ADMINISTRATION  
  
City or town, state or province, country, and ZIP or foreign postal code  
STONY BROOK, NY 11794  
  
**F** Name and address of principal officer:  
KACY BULLARD  
230 ADMINISTRATION  
STONY BROOK,NY 11794

**D** Employer identification number  
11-6077945  
  
**E** Telephone number  
(631) 632-6536  
  
**G** Gross receipts \$ 824,720,671

**I** Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) ( ) (insert no.) ☐ 4947(a)(1) or ☐ 527

**J** Website: WWW.STONYBROOK.EDU/FOUNDATION/

**K** Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other

**L** Year of formation: 1965 **M** State of legal domicile: NY

| Part I                      |                                                                                                                                                                     | Summary                                                                                                 |             |              |
|-----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|-------------|--------------|
| Activities & Governance     | 1 Briefly describe the organization's mission or most significant activities:<br>TO ADVANCE THE TAX-EXEMPT MISSION OF SUNY STONY BROOK THROUGH FUNDRAISING EFFORTS. |                                                                                                         |             |              |
|                             |                                                                                                                                                                     |                                                                                                         |             |              |
|                             |                                                                                                                                                                     |                                                                                                         |             |              |
|                             |                                                                                                                                                                     |                                                                                                         |             |              |
|                             | 2 Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.                           |                                                                                                         |             |              |
|                             | 3                                                                                                                                                                   | Number of voting members of the governing body (Part VI, line 1a)                                       | 3           | 23           |
|                             | 4                                                                                                                                                                   | Number of independent voting members of the governing body (Part VI, line 1b)                           | 4           | 22           |
|                             | 5                                                                                                                                                                   | Total number of individuals employed in calendar year 2020 (Part V, line 2a)                            | 5           | 10           |
|                             | 6                                                                                                                                                                   | Total number of volunteers (estimate if necessary)                                                      | 6           | 0            |
|                             | 7a                                                                                                                                                                  | Total unrelated business revenue from Part VIII, column (C), line 12                                    | 7a          | 230,706      |
|                             | 7b                                                                                                                                                                  | Net unrelated business taxable income from Form 990-T, line 39                                          | 7b          | 0            |
| Revenue                     | 8                                                                                                                                                                   | Contributions and grants (Part VIII, line 1h)                                                           | Prior Year  | Current Year |
|                             | 9                                                                                                                                                                   | Program service revenue (Part VIII, line 2g)                                                            | 54,558,793  | 95,728,137   |
|                             | 10                                                                                                                                                                  | Investment income (Part VIII, column (A), lines 3, 4, and 7d )                                          | 1,410,038   | 1,587,062    |
|                             | 11                                                                                                                                                                  | Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)                                | 4,992,800   | 30,131,091   |
|                             | 12                                                                                                                                                                  | Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)                        | 1,431,920   | 1,801,096    |
|                             | 12                                                                                                                                                                  |                                                                                                         | 62,393,551  | 129,247,386  |
| Expenses                    | 13                                                                                                                                                                  | Grants and similar amounts paid (Part IX, column (A), lines 1–3 )                                       | 17,391,141  | 32,713,028   |
|                             | 14                                                                                                                                                                  | Benefits paid to or for members (Part IX, column (A), line 4)                                           | 0           | 0            |
|                             | 15                                                                                                                                                                  | Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)                       | 10,520,867  | 10,642,555   |
|                             | 16a                                                                                                                                                                 | Professional fundraising fees (Part IX, column (A), line 11e)                                           | 70,000      | 0            |
|                             | b                                                                                                                                                                   | Total fundraising expenses (Part IX, column (D), line 25) <input checked="" type="checkbox"/> 3,289,406 |             |              |
|                             | 17                                                                                                                                                                  | Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)                                            | 22,736,264  | 29,107,605   |
|                             | 18                                                                                                                                                                  | Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25)                               | 50,718,272  | 72,463,188   |
|                             | 19                                                                                                                                                                  | Revenue less expenses. Subtract line 18 from line 12                                                    | 11,675,279  | 56,784,198   |
| Net Assets or Fund Balances |                                                                                                                                                                     | Beginning of Current Year                                                                               | End of Year |              |
|                             | 20                                                                                                                                                                  | Total assets (Part X, line 16)                                                                          | 590,641,440 | 732,698,663  |
|                             | 21                                                                                                                                                                  | Total liabilities (Part X, line 26)                                                                     | 56,242,895  | 60,001,052   |
|                             | 22                                                                                                                                                                  | Net assets or fund balances. Subtract line 21 from line 20                                              | 534,398,545 | 672,697,611  |

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

**Sign Here**

Signature of officer

KACY BULLARD COO

Type or print name and title

2022-01-22  
Date

**Paid Preparer Use Only**

Print/Type preparer's name

Preparer's signature

Date

Check ☐ if self-employed

PTIN P00741490

Firm's name GRANT THORNTON LLP

Firm's EIN 36-6055558

Firm's address 757 THIRD AVENUE 3RD FLOOR

Phone no. (212) 599-0100

NEW YORK, NY 100172013

Part III

Statement of Program Service Accomplishments

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

1

Briefly describe the organization’s mission:

THE STONY BROOK FOUNDATION, INC. IS A NOT-FOR-PROFIT, "NO MEMBER" CORPORATION ESTABLISHED IN 1965. SBF EXISTS TO ADVANCE THE MISSION AND GOALS OF SUNY STONY BROOK BY FACILITATING, ACCEPTING AND MANAGING PHILANTHROPIC GIFTS. (CONTINUED ON SCHEDULE O).

2

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

If "Yes," describe these new services on Schedule O.

3

Did the organization cease conducting, or make significant changes in how it conducts, any program services? . . . . . ☐ Yes ☒ No

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

4

Describe the organization’s program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a

(Code: ) (Expenses \$ 13,901,384 including grants of \$ 8,394,651 ) (Revenue \$ 0 )

STONY BROOK FOUNDATION PROVIDED FUNDING TO SUPPORT VARIOUS SUNY STONY BROOK ACADEMIC PROGRAMS, CENTERS AND INSTITUTES IN ORDER TO NURTURE ACADEMIC ACHIEVEMENT AMONG SUNY STONY BROOK STUDENTS AND FACULTY BY PROVIDING FUNDS TO ATTRACT AND RETAIN EXCEPTIONAL FACULTY THROUGH THE USE OF ENDOWED CHAIRS AND ENDOWED PROFESSORSHIPS, AID IN CURRICULUM ENHANCEMENT AS WELL AS EQUIP CLASSROOMS AND LABORATORIES WITH THE LATEST TECHNOLOGY.

4b

(Code: ) (Expenses \$ 12,641,685 including grants of \$ 8,818,628 ) (Revenue \$ 0 )

STONY BROOK FOUNDATION PROVIDED SUNY STONY BROOK FUNDS FOR VARIOUS INSTITUTIONAL SUPPORT, INCLUDING BUT NOT LIMITED TO: FUNDING CONSTRUCTION OF CUTTING-EDGE FACILITIES SUCH AS THE INDOOR TRAINING CENTER FOR ATHLETICS, AS WELL AS SUBSTANTIAL RENOVATIONS OF THE CURRENT EXISTING STONY BROOK UNIVERSITY HOSPITAL, SUBSIDIZED FUNDING TO SUPPORT VARIOUS SUNY STONY BROOK STRATEGIC ACADEMIC INITIATIVES, AND STONY BROOK UNIVERSITY DEPARTMENTS SUCH AS MATHEMATICS, PHYSICS AND THE TURKANA BASIN INSTITUTE, AN ACADEMIC BASE FOR SCIENTIFIC RESEARCH AND TRAINING IN PALEONTOLOGY AND PALEOANTHROPOLOGY.

4c

(Code: ) (Expenses \$ 9,397,720 including grants of \$ 9,278,180 ) (Revenue \$ 0 )

STONY BROOK FOUNDATION PROVIDED VARIOUS STUDENT FINANCIAL SUPPORT TO SUNY STONY BROOK AS WELL AS TO SUNY STONY BROOK’S STUDENTS TO ASSIST IN THEIR EFFORT OF DELIVERING A WORLD-CLASS EDUCATION AT REMARKABLY AFFORDABLE PRICES AND TO KEEP RECRUITING THE BEST YOUNG MINDS AND FUTURE LEADERS FROM ACROSS THE SOCIOECONOMIC SPECTRUM.

(Code: ) (Expenses \$ 5,339,406 including grants of \$ 2,059,071 ) (Revenue \$ 1,619,587 )

STONY BROOK FOUNDATION PROVIDED SUPPORT TO SUNY STONY BROOK IN ITS EFFORTS TO MAINTAIN THEIR REPUTATION AS A PUBLIC RESEARCH UNIVERSITY THAT THRIVES ON THE FOREFRONT OF DISCOVERY. AS SUCH, STONY BROOK FOUNDATION PROVIDES FUNDING TO SUPPORT VARIOUS AREAS OF RESEARCH INCLUDING: CANCER RESEARCH (STONY BROOK CANCER CENTER), ENVIRONMENTAL AND SUSTAINABILITY RESEARCH (SHINNECOCK BAY RESTORATION PROGRAM), CHEMICAL BIOLOGY RESEARCH, COMMUNICATION SCIENCE RESEARCH, AND MANY OTHER VARIOUS RESEARCH EFFORTS.

(Code: ) (Expenses \$ 4,880,745 including grants of \$ 4,162,498 ) (Revenue \$ 0 )

STONY BROOK FOUNDATION ALSO AIDS IN SUNY STONY BROOK’S FIRM COMMITMENT TO PROVIDING A DEDICATED EDUCATIONAL AND SOCIAL SUPPORT SYSTEM THAT ENABLES ALL THEIR STUDENTS TO THRIVE, BY PROVIDING FUNDING TO IMPROVE STUDENT, ADMINISTRATIVE AND PUBLIC SERVICES ACROSS SUNY STONY BROOK.

4d

Other program services (Describe in Schedule O.)

(Expenses \$ 10,220,151 including grants of \$ 6,221,569 ) (Revenue \$ 1,619,587 )

4e

Total program service expenses ► 46,160,940

Part IV

Checklist of Required Schedules

|                                                                                                                                                                                                                                                                                                             | Yes     | No |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|----|
| 1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A                                                                                                                                                                         | 1 Yes   |    |
| 2 Is the organization required to complete Schedule B, Schedule of Contributors (see instructions)?                                                                                                                                                                                                         | 2 Yes   |    |
| 3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I                                                                                                                      | 3       | No |
| 4 <b>Section 501(c)(3) organizations.</b> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II                                                                                                       | 4 Yes   |    |
| 5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If "Yes," complete Schedule C, Part III                                                                               | 5       | No |
| 6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I                                                    | 6       | No |
| 7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If "Yes," complete Schedule D, Part II                                                                                            | 7       | No |
| 8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III                                                                                                                                                         | 8 Yes   |    |
| 9 Did the organization report an amount in Part X, line 21 for escrow or custodial account liability; serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? If "Yes," complete Schedule D, Part IV             | 9 Yes   |    |
| 10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi endowments? If "Yes," complete Schedule D, Part V                                                                                                     | 10 Yes  |    |
| 11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.                                                                                                                                                          |         |    |
| a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If "Yes," complete Schedule D, Part VI                                                                                                                                                                       | 11a Yes |    |
| b Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VII                                                                                                     | 11b Yes |    |
| c Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VIII                                                                                                     | 11c     | No |
| d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part IX                                                                                                                      | 11d     | No |
| e Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X                                                                                                                                                                                     | 11e Yes |    |
| f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)?                                                                                                  | 11f Yes |    |
| 12a If "Yes," complete Schedule D, Part XI                                                                                                                                                                                                                                                                  | 12a     | No |
| b Was the organization included in consolidated, independent audited financial statements for the tax year? If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional                                                                           | 12b Yes |    |
| 13 Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E                                                                                                                                                                                                        | 13      | No |
| 14a Did the organization maintain an office, employees, or agents outside of the United States?                                                                                                                                                                                                             | 14a     | No |
| b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If "Yes," complete Schedule F, Parts I and IV | 14b Yes |    |
| 15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If "Yes," complete Schedule F, Parts II and IV                                                                                                           | 15 Yes  |    |
| 16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? If "Yes," complete Schedule F, Parts III and IV                                                                                                     | 16      | No |
| 17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I (see instructions)                                                                                            | 17      | No |
| 18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II                                                                                                                           | 18      | No |
| 19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III                                                                                                                                                     | 19      | No |
| 20a Did the organization operate one or more hospital facilities? If "Yes," complete Schedule H                                                                                                                                                                                                             | 20a     | No |
| b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?                                                                                                                                                                                              | 20b     |    |
| 21 Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? If "Yes," complete Schedule I, Parts I and II                                                                                            | 21 Yes  |    |

Part IV

Checklist of Required Schedules (continued)

|     |                                                                                                                                                                                                                                                                                                                                                                                             |     |     |    |
|-----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|-----|----|
|     |                                                                                                                                                                                                                                                                                                                                                                                             | Yes | No  |    |
| 22  | Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? If "Yes," complete Schedule I, Parts I and III . . . . .                                                                                                                                                                                         | 22  | Yes |    |
| 23  | Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? If "Yes," complete Schedule J . . . . .                                                                                                                              | 23  | Yes |    |
| 24a | Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a . . . . .                                                                                                    | 24a |     | No |
| b   | Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? . . . .                                                                                                                                                                                                                                                                                   | 24b |     |    |
| c   | Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? . . . . .                                                                                                                                                                                                                                        | 24c |     |    |
| d   | Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?                                                                                                                                                                                                                                                                                     | 24d |     |    |
| 25a | <b>Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? If "Yes," complete Schedule L, Part I . . . . .                                                                                                                                                                 | 25a |     | No |
| b   | Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? If "Yes," complete Schedule L, Part I                                                                                                                         | 25b |     | No |
| 26  | Did the organization report any amount on Part X, line 5 or 22 for receivables from or payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons?                                                                                                          | 26  |     | No |
| 27  | Did the organization provide a grant or other assistance to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or employee thereof, a grant selection committee member, or to a 35% controlled entity (including an employee thereof) or family member of any of these persons? If "Yes," complete Schedule L, Part III . . . . . | 27  |     | No |
| 28  | Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):                                                                                                                                                                                               |     |     |    |
| a   | A current or former officer, director, trustee, key employee, creator or founder, or substantial contributor? If "Yes," complete Schedule L, Part IV . . . . .                                                                                                                                                                                                                              | 28a |     | No |
| b   | A family member of any individual described in line 28a? If "Yes," complete Schedule L, Part IV . . . . .                                                                                                                                                                                                                                                                                   | 28b |     | No |
| c   | A 35% controlled entity of one or more individuals and/or organizations described in lines 28a or 28b? If "Yes," complete Schedule L, Part IV . . . . .                                                                                                                                                                                                                                     | 28c | Yes |    |
| 29  | Did the organization receive more than \$25,000 in non-cash contributions? If "Yes," complete Schedule M . . . .                                                                                                                                                                                                                                                                            | 29  | Yes |    |
| 30  | Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions?                                                                                                                                                                                                                                                  | 30  | Yes |    |
| 31  | Did the organization liquidate, terminate, or dissolve and cease operations? If "Yes," complete Schedule N, Part I . . . . .                                                                                                                                                                                                                                                                | 31  |     | No |
| 32  | Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If "Yes," complete Schedule N, Part II . . . . .                                                                                                                                                                                                                                              | 32  |     | No |
| 33  | Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3?                                                                                                                                                                                                                                              | 33  |     | No |
| 34  | Was the organization related to any tax-exempt or taxable entity? If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1 . . . . .                                                                                                                                                                                                                                          | 34  | Yes |    |
| 35a | Did the organization have a controlled entity within the meaning of section 512(b)(13)?                                                                                                                                                                                                                                                                                                     | 35a | Yes |    |
| b   | If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If "Yes," complete Schedule R, Part V, line 2 . . . . .                                                                                                                                                                 | 35b | Yes |    |
| 36  | <b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? If "Yes," complete Schedule R, Part V, line 2 . . . . .                                                                                                                                                                                                   | 36  |     | No |
| 37  | Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? If "Yes," complete Schedule R, Part VI . . . .                                                                                                                                                       | 37  |     | No |
| 38  | Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? <b>Note.</b> All Form 990 filers are required to complete Schedule O. . . . .                                                                                                                                                                                                | 38  | Yes |    |

Part V

Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response or note to any line in this Part V . . . . . ☐

|    |                                                                                                                                                                    |     |     |  |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|-----|--|
|    |                                                                                                                                                                    | Yes | No  |  |
| 1a | Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable                                                                                       | 1a  | 382 |  |
| b  | Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable . . . . .                                                                          | 1b  | 0   |  |
| c  | Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? . . . . . | 1c  | Yes |  |

|        |  |                                                                                                                                                                                                                                            |  |  |     |    |     |    |  |
|--------|--|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|-----|----|-----|----|--|
| Part V |  | Statements Regarding Other IRS Filings and Tax Compliance (continued)                                                                                                                                                                      |  |  |     |    |     |    |  |
| 2a     |  | Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return . . . . .                                                    |  |  | 2a  | 10 |     |    |  |
| b      |  | If at least one is reported on line 2a, did the organization file all required federal employment tax returns?<br><b>Note.</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)         |  |  | 2b  |    | Yes |    |  |
| 3a     |  | Did the organization have unrelated business gross income of \$1,000 or more during the year? . . . .                                                                                                                                      |  |  | 3a  |    | Yes |    |  |
| b      |  | If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation in Schedule O . . . .                                                                                                                        |  |  | 3b  |    | Yes |    |  |
| 4a     |  | At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? |  |  | 4a  |    |     | No |  |
| b      |  | If "Yes," enter the name of the foreign country: _____<br>See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR)                                                               |  |  |     |    |     |    |  |
| 5a     |  | Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . . .                                                                                                                                |  |  | 5a  |    |     | No |  |
| b      |  | Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?                                                                                                                           |  |  | 5b  |    |     | No |  |
| c      |  | If "Yes," to line 5a or 5b, did the organization file Form 8886-T? . . . . .                                                                                                                                                               |  |  | 5c  |    |     |    |  |
| 6a     |  | Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions? . . . .                            |  |  | 6a  |    |     | No |  |
| b      |  | If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? . . . . .                                                                                    |  |  | 6b  |    |     |    |  |
| 7      |  | Organizations that may receive deductible contributions under section 170(c).                                                                                                                                                              |  |  |     |    |     |    |  |
| a      |  | Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor? . . . . .                                                                                  |  |  | 7a  |    | Yes |    |  |
| b      |  | If "Yes," did the organization notify the donor of the value of the goods or services provided? . . . . .                                                                                                                                  |  |  | 7b  |    | Yes |    |  |
| c      |  | Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? . . . . .                                                                                             |  |  | 7c  |    |     | No |  |
| d      |  | If "Yes," indicate the number of Forms 8282 filed during the year . . . . .                                                                                                                                                                |  |  | 7d  |    |     |    |  |
| e      |  | Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?                                                                                                                            |  |  | 7e  |    |     | No |  |
| f      |  | Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?                                                                                                                               |  |  | 7f  |    |     | No |  |
| g      |  | If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required? . . . . .                                                                                                 |  |  | 7g  |    |     |    |  |
| h      |  | If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C? . . . . .                                                                                               |  |  | 7h  |    |     |    |  |
| 8      |  | Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?                                                    |  |  | 8   |    |     |    |  |
| 9      |  | Sponsoring organizations maintaining donor advised funds.                                                                                                                                                                                  |  |  |     |    |     |    |  |
| a      |  | Did the sponsoring organization make any taxable distributions under section 4966?                                                                                                                                                         |  |  | 9a  |    |     |    |  |
| b      |  | Did the sponsoring organization make a distribution to a donor, donor advisor, or related person? . . . .                                                                                                                                  |  |  | 9b  |    |     |    |  |
| 10     |  | Section 501(c)(7) organizations. Enter:                                                                                                                                                                                                    |  |  |     |    |     |    |  |
| a      |  | Initiation fees and capital contributions included on Part VIII, line 12 . . . . .                                                                                                                                                         |  |  | 10a |    |     |    |  |
| b      |  | Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities                                                                                                                                                |  |  | 10b |    |     |    |  |
| 11     |  | Section 501(c)(12) organizations. Enter:                                                                                                                                                                                                   |  |  |     |    |     |    |  |
| a      |  | Gross income from members or shareholders . . . . .                                                                                                                                                                                        |  |  | 11a |    |     |    |  |
| b      |  | Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.) . . . . .                                                                                                     |  |  | 11b |    |     |    |  |
| 12a    |  | Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?                                                                                                                                 |  |  | 12a |    |     |    |  |
| b      |  | If "Yes," enter the amount of tax-exempt interest received or accrued during the year.                                                                                                                                                     |  |  | 12b |    |     |    |  |
| 13     |  | Section 501(c)(29) qualified nonprofit health insurance issuers.                                                                                                                                                                           |  |  |     |    |     |    |  |
| a      |  | Is the organization licensed to issue qualified health plans in more than one state?<br><b>Note.</b> See the instructions for additional information the organization must report on Schedule O.                                           |  |  | 13a |    |     |    |  |
| b      |  | Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans . . . . .                                                                        |  |  | 13b |    |     |    |  |
| c      |  | Enter the amount of reserves on hand . . . . .                                                                                                                                                                                             |  |  | 13c |    |     |    |  |
| 14a    |  | Did the organization receive any payments for indoor tanning services during the tax year? . . . . .                                                                                                                                       |  |  | 14a |    |     | No |  |
| b      |  | If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O . . . .                                                                                                                          |  |  | 14b |    |     |    |  |
| 15     |  | Is the organization subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year?                                                                                 |  |  | 15  |    |     | No |  |
| 16     |  | If the organization is subject to the section 4968 excise tax on net investment income? . . . . .                                                                                                                                          |  |  | 16  |    |     | No |  |
|        |  | If "Yes," complete Form 4720, Schedule O.                                                                                                                                                                                                  |  |  |     |    |     |    |  |

Part VI

Governance, Management, and Disclosure

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

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

☒

Section A. Governing Body and Management

|    |                                                                                                                                                                                                                                                                                                        |    |     |    |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|-----|----|
|    |                                                                                                                                                                                                                                                                                                        |    | Yes | No |
| 1a | Enter the number of voting members of the governing body at the end of the tax year. If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O. | 1a | 23  |    |
| b  | Enter the number of voting members included in line 1a, above, who are independent                                                                                                                                                                                                                     | 1b | 22  |    |
| 2  | Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?                                                                                                                                  | 2  | Yes |    |
| 3  | Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person?                                                                                    | 3  |     | No |
| 4  | Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?                                                                                                                                                                                       | 4  |     | No |
| 5  | Did the organization become aware during the year of a significant diversion of the organization's assets?                                                                                                                                                                                             | 5  |     | No |
| 6  | Did the organization have members or stockholders?                                                                                                                                                                                                                                                     | 6  |     | No |
| 7a | Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?                                                                                                                                                     | 7a |     | No |
| b  | Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?                                                                                                                                              | 7b |     | No |
| 8  | Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:                                                                                                                                                                      |    |     |    |
| a  | The governing body?                                                                                                                                                                                                                                                                                    | 8a | Yes |    |
| b  | Each committee with authority to act on behalf of the governing body?                                                                                                                                                                                                                                  | 8b |     | No |
| 9  | Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O                                                                                           | 9  |     | No |

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

|     |                                                                                                                                                                                                                                                                                              |     |     |    |
|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|-----|----|
|     |                                                                                                                                                                                                                                                                                              |     | Yes | No |
| 10a | Did the organization have local chapters, branches, or affiliates?                                                                                                                                                                                                                           | 10a |     | No |
| b   | If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?                                                                   | 10b |     |    |
| 11a | Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?                                                                                                                                                                  | 11a | Yes |    |
| b   | Describe in Schedule O the process, if any, used by the organization to review this Form 990.                                                                                                                                                                                                |     |     |    |
| 12a | Did the organization have a written conflict of interest policy? If "No," go to line 13                                                                                                                                                                                                      | 12a | Yes |    |
| b   | Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?                                                                                                                                                          | 12b | Yes |    |
| c   | Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done                                                                                                                                           | 12c | Yes |    |
| 13  | Did the organization have a written whistleblower policy?                                                                                                                                                                                                                                    | 13  | Yes |    |
| 14  | Did the organization have a written document retention and destruction policy?                                                                                                                                                                                                               | 14  | Yes |    |
| 15  | Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?                                                                         |     |     |    |
| a   | The organization's CEO, Executive Director, or top management official                                                                                                                                                                                                                       | 15a | Yes |    |
| b   | Other officers or key employees of the organization                                                                                                                                                                                                                                          | 15b | Yes |    |
|     | If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).                                                                                                                                                                                                          |     |     |    |
| 16a | Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?                                                                                                                                        | 16a |     | No |
| b   | If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements? | 16b |     |    |

Section C. Disclosure

|    |                                                                                                                                                                                                                       |                                                                                                                                                                                                    |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 17 | List the states with which a copy of this Form 990 is required to be filed                                                                                                                                            | CA, FL, GA, HI, KS, KY, MD, MA, MI, MN, NH, NJ, NY, OR, SC, UT, WV, WI                                                                                                                             |
| 18 | Section 6104 requires an organization to make its Form 1023 (or 1024-A if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply. | <input checked="" type="checkbox"/> Own website <input type="checkbox"/> Another's website <input checked="" type="checkbox"/> Upon request <input type="checkbox"/> Other (explain in Schedule O) |
| 19 | Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.                     |                                                                                                                                                                                                    |
| 20 | State the name, address, and telephone number of the person who possesses the organization's books and records:                                                                                                       | KACY BULLARD 230 ADMINISTRATION STONY BROOK, NY 11794 (631) 632-6536                                                                                                                               |

Part VII

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

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

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

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

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

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

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

| (A)<br>Name and title                                                   | (B)<br>Average hours per week (list any hours for related organizations below dotted line) | (C)<br>Position (do not check more than one box, unless person is both an officer and a director/trustee) |                       |         |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>Estimated amount of other compensation from the organization and related organizations |
|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|-----------------------|---------|--------------|------------------------------|--------|----------------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
|                                                                         |                                                                                            | Individual trustee or director                                                                            | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former |                                                                      |                                                                           |                                                                                               |
| (1) DR MAURIE MCINNIS VOTING<br>.....<br>EX-OFF TRUSTEE (AS OF 07/2020) | 3.00<br>.....<br>0.10                                                                      | X                                                                                                         |                       |         |              |                              |        | 69,058                                                               | 0                                                                         | 0                                                                                             |
| (2) MR RICHARD L GELFOND<br>.....<br>TRUSTEE, CHAIR                     | 4.00<br>.....<br>0.10                                                                      | X                                                                                                         |                       | X       |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (3) MR DAVID E ACKER<br>.....<br>TRUSTEE, VICE CHAIR                    | 1.00<br>.....<br>0.00                                                                      | X                                                                                                         |                       | X       |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (4) DR LAURIE LANDEAU<br>.....<br>TRUSTEE, VICE CHAIR                   | 1.00<br>.....<br>0.00                                                                      | X                                                                                                         |                       | X       |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (5) DR JAMES H SIMONS<br>.....<br>TRUSTEE, CHAIR EMERITUS               | 1.00<br>.....<br>0.00                                                                      | X                                                                                                         |                       | X       |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (6) MR CARY F STALLER<br>.....<br>TRUSTEE, SECRETARY                    | 1.00<br>.....<br>1.00                                                                      | X                                                                                                         |                       | X       |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (7) DR NANCY RAUCH DOUZINAS<br>.....<br>TRUSTEE, TREASURER              | 1.00<br>.....<br>0.00                                                                      | X                                                                                                         |                       | X       |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (8) DR ASHVIN B CHHABRA<br>.....<br>TRUSTEE                             | 0.50<br>.....<br>0.00                                                                      | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (9) DR BARRY S COLLER<br>.....<br>TRUSTEE                               | 0.50<br>.....<br>0.00                                                                      | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (10) MR GUY-MAX DELPHIN<br>.....<br>TRUSTEE                             | 0.50<br>.....<br>0.10                                                                      | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (11) MR BARRY M FOX ESQ<br>.....<br>TRUSTEE                             | 0.50<br>.....<br>0.10                                                                      | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (12) MR STUART D GOLDSTEIN<br>.....<br>TRUSTEE                          | 0.50<br>.....<br>0.10                                                                      | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (13) MS KAREN KEOGH<br>.....<br>TRUSTEE                                 | 0.50<br>.....<br>0.00                                                                      | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (14) MR WILLIAM L KNAPP<br>.....<br>TRUSTEE                             | 0.50<br>.....<br>0.00                                                                      | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (15) DR HENRY B LAUFER<br>.....<br>TRUSTEE                              | 0.50<br>.....<br>0.00                                                                      | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (16) MS DOROTHY LICHTENSTEIN<br>.....<br>TRUSTEE                        | 0.50<br>.....<br>0.00                                                                      | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| (17) DR ROBERT LOURIE<br>.....<br>TRUSTEE (THRU 06/30/2021)             | 0.50<br>.....<br>0.00                                                                      | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |

Part VII

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

| (A)<br>Name and title                                           | (B)<br>Average hours per week (list any hours for related organizations below dotted line) | (C)<br>Position (do not check more than one box, unless person is both an officer and a director/trustee) |                       |         |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>Estimated amount of other compensation from the organization and related organizations |
|-----------------------------------------------------------------|--------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|-----------------------|---------|--------------|------------------------------|--------|----------------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
|                                                                 |                                                                                            | Individual trustee or director                                                                            | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former |                                                                      |                                                                           |                                                                                               |
| (18) DR NIRMAL MATTOO<br>.....                                  | 0.50<br>0.00                                                                               | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| TRUSTEE<br>(19) MR RICHARD T NASTI ESQ<br>.....                 | 0.50<br>0.10                                                                               | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| TRUSTEE<br>(20) MR BERNARDO PIQET<br>.....                      | 0.50<br>0.00                                                                               | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| TRUSTEE<br>(21) MS CAROLINE RITTER<br>.....                     | 0.50<br>0.10                                                                               | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| TRUSTEE<br>(22) MR RUSSELL SHEPARD<br>.....                     | 0.50<br>0.00                                                                               | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| TRUSTEE<br>(23) MRS SUSAN STEINHARDT ESQ<br>.....               | 0.50<br>0.00                                                                               | X                                                                                                         |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| TRUSTEE<br>(24) MR DAVID MARCUS<br>.....                        | 37.50<br>0.00                                                                              |                                                                                                           |                       | X       |              |                              |        | 400,000                                                              | 0                                                                         | 116,108                                                                                       |
| CIO<br>(25) MR JASON W HSUEH<br>.....                           | 37.50<br>0.00                                                                              |                                                                                                           |                       | X       |              |                              |        | 279,278                                                              | 0                                                                         | 115,976                                                                                       |
| CFO & COO<br>(26) DEBORAH LOWEN-KLEIN<br>.....                  | 37.50<br>0.00                                                                              |                                                                                                           |                       |         |              | X                            |        | 331,000                                                              | 0                                                                         | 137,454                                                                                       |
| INTERIM VP, ADVANCEMENT<br>(27) JO-ANN DANIELS<br>.....         | 37.50<br>0.00                                                                              |                                                                                                           |                       |         |              | X                            |        | 212,462                                                              | 0                                                                         | 88,181                                                                                        |
| DIRECTOR, FINANCE & OPERATIONS<br>(28) DANIELLE HOLTON<br>..... | 33.75<br>0.00                                                                              |                                                                                                           |                       |         |              | X                            |        | 237,989                                                              | 0                                                                         | 98,773                                                                                        |
| ED DEVELOPMENT, SBCH<br>(29) TARA STENZEL-FLEMING<br>.....      | 37.50<br>0.00                                                                              |                                                                                                           |                       |         |              | X                            |        | 190,000                                                              | 0                                                                         | 78,901                                                                                        |
| ED CORPORATE AND FR<br>(30) CAROL GOMES<br>.....                | 1.00<br>0.00                                                                               |                                                                                                           |                       |         |              | X                            |        | 207,692                                                              | 0                                                                         | 0                                                                                             |
| CEO, COO OF SBUH                                                |                                                                                            |                                                                                                           |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |

|                                                                   |   |           |   |         |
|-------------------------------------------------------------------|---|-----------|---|---------|
| 1b Sub-Total . . . . .                                            | ▶ |           |   |         |
| c Total from continuation sheets to Part VII, Section A . . . . . | ▶ |           |   |         |
| d Total (add lines 1b and 1c) . . . . .                           | ▶ | 1,927,479 | 0 | 635,393 |

2

Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization ▶ 9

|   |                                                                                                                                                                                                                                               | Yes | No |
|---|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 3 | Did the organization list any <b>former</b> officer, director or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual . . . . .</i>                                        |     | No |
| 4 | For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? <i>If "Yes," complete Schedule J for such individual . . . . .</i> | Yes |    |
| 5 | Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? <i>If "Yes," complete Schedule J for such person . . . . .</i>                       | Yes |    |

Section B. Independent Contractors

1

Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization’s tax year.

| (A)<br>Name and business address                                                      | (B)<br>Description of services | (C)<br>Compensation |
|---------------------------------------------------------------------------------------|--------------------------------|---------------------|
| INVESTMENT MANAGER CO SBF<br><br>230 ADMINISTRATION<br>STONY BROOK, NY 11794          | INVESTMENT MGMT                | 2,067,809           |
| INVESTMENT MANAGER CO SBF<br><br>230 ADMINISTRATION<br>STONY BROOK, NY 11794          | INVESTMENT MGMT                | 805,373             |
| BLUE STATE DIGITAL INC<br><br>62187 COLLECTIONS CENTER DRIVE<br>CHICAGO, IL 606930621 | DIGITAL MARKETING/NETWORKING   | 692,929             |
| INVESTMENT MANAGER CO SBF<br><br>230 ADMINISTRATION<br>STONY BROOK, NY 11794          | INVESTMENT MGMT                | 683,775             |
| INVESTMENT MANAGER CO SBF<br><br>230 ADMINISTRATION<br>STONY BROOK, NY 11794          | INVESTMENT MGMT                | 675,813             |

2

Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization ▶ 3 2

Part VIII

Statement of Revenue

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

|  | (A)<br>Total revenue | (B)<br>Related or<br>exempt<br>function<br>revenue | (C)<br>Unrelated<br>business<br>revenue | (D)<br>Revenue<br>excluded from<br>tax under sections<br>512 - 514 |
|--|----------------------|----------------------------------------------------|-----------------------------------------|--------------------------------------------------------------------|
|--|----------------------|----------------------------------------------------|-----------------------------------------|--------------------------------------------------------------------|

Contributions, Gifts, Grants  
and Other Similar Amounts

|                                    |                                                                                      |    |            |  |
|------------------------------------|--------------------------------------------------------------------------------------|----|------------|--|
| 1a                                 | Federated campaigns . . .                                                            | 1a |            |  |
| b                                  | Membership dues . . .                                                                | 1b |            |  |
| c                                  | Fundraising events . . .                                                             | 1c |            |  |
| d                                  | Related organizations                                                                | 1d |            |  |
| e                                  | Government grants (contributions)                                                    | 1e | 1,424,046  |  |
|                                    |                                                                                      |    |            |  |
| f                                  | All other contributions, gifts, grants,<br>and similar amounts not included<br>above | 1f | 94,304,091 |  |
| g                                  | Noncash contributions included in<br>lines 1a - 1f:\$                                | 1g | 6,120,883  |  |
| h Total. Add lines 1a-1f . . . . . |                                                                                      |    | 95,728,137 |  |

Program Service Revenue

|                                   |                                    |               |           |           |  |  |
|-----------------------------------|------------------------------------|---------------|-----------|-----------|--|--|
| 2a                                | CONTRACTUAL AGENCY FEE             | Business Code |           |           |  |  |
|                                   |                                    | 711300        | 1,587,062 | 1,587,062 |  |  |
| b                                 |                                    |               |           |           |  |  |
| c                                 |                                    |               |           |           |  |  |
| d                                 |                                    |               |           |           |  |  |
| e                                 |                                    |               |           |           |  |  |
| f                                 | All other program service revenue. |               |           |           |  |  |
| g Total. Add lines 2a-2f. . . . . |                                    |               | 1,587,062 |           |  |  |

Other Revenue

|     |                                                                                                                              |                |               |        |         |            |
|-----|------------------------------------------------------------------------------------------------------------------------------|----------------|---------------|--------|---------|------------|
| 3   | Investment income (including dividends, interest, and other similar amounts)                                                 |                | 156,468       |        | 230,706 | -74,238    |
| 4   | Income from investment of tax-exempt bond proceeds                                                                           |                |               |        |         |            |
| 5   | Royalties . . . . .                                                                                                          |                | 691,827       |        |         | 691,827    |
|     |                                                                                                                              | (i) Real       | (ii) Personal |        |         |            |
| 6a  | Gross rents                                                                                                                  | 6a             | 144,121       |        |         |            |
| b   | Less: rental expenses                                                                                                        | 6b             | 0             |        |         |            |
| c   | Rental income or (loss)                                                                                                      | 6c             | 144,121       |        |         |            |
| d   | Net rental income or (loss) . . . . .                                                                                        |                | 144,121       |        |         | 144,121    |
|     |                                                                                                                              | (i) Securities | (ii) Other    |        |         |            |
| 7a  | Gross amount from sales of assets other than inventory                                                                       | 7a             | 725,405,703   | 35,073 |         |            |
| b   | Less: cost or other basis and sales expenses                                                                                 | 7b             | 695,433,153   | 33,000 |         |            |
| c   | Gain or (loss)                                                                                                               | 7c             | 29,972,550    | 2,073  |         |            |
| d   | Net gain or (loss) . . . . .                                                                                                 |                | 29,974,623    |        |         | 29,974,623 |
| 8a  | Gross income from fundraising events (not including \$ of contributions reported on line 1c). See Part IV, line 18 . . . . . | 8a             |               |        |         |            |
| b   | Less: direct expenses                                                                                                        | 8b             |               |        |         |            |
| c   | Net income or (loss) from fundraising events . . . . .                                                                       |                |               |        |         |            |
| 9a  | Gross income from gaming activities. See Part IV, line 19 . . . . .                                                          | 9a             |               |        |         |            |
| b   | Less: direct expenses                                                                                                        | 9b             |               |        |         |            |
| c   | Net income or (loss) from gaming activities . . . . .                                                                        |                |               |        |         |            |
| 10a | Gross sales of inventory, less                                                                                               |                |               |        |         |            |

|                                                             |               |             |           |         |  |            |
|-------------------------------------------------------------|---------------|-------------|-----------|---------|--|------------|
| returns and allowances . . .                                | <b>10a</b>    | 12,887      |           |         |  |            |
| <b>b</b> Less: cost of goods sold                           | <b>10b</b>    | 7,132       |           |         |  |            |
| <b>c</b> Net income or (loss) from sales of inventory . . . |               |             | 5,755     |         |  | 5,755      |
|                                                             |               |             |           |         |  |            |
| Miscellaneous Revenue                                       | Business Code |             |           |         |  |            |
| <b>11a</b> CONTRACTED SERVICES                              | 900099        | 898,856     |           |         |  | 898,856    |
| <b>b</b> PKH MUSEUM ADMISSIONS                              | 900099        | 32,525      | 32,525    |         |  |            |
| <b>c</b> MISCELLANEOUS REVENUE                              | 900099        | 28,012      |           |         |  | 28,012     |
| <b>d</b> All other revenue . . . . .                        |               |             |           |         |  |            |
| <b>e Total.</b> Add lines 11a–11d . . . . .                 |               | 959,393     |           |         |  |            |
| <b>12 Total revenue.</b> See instructions . . . . .         |               | 129,247,386 | 1,619,587 | 230,706 |  | 31,668,956 |

Part IX

Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).  
Check if Schedule O contains a response or note to any line in this Part IX

| Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.                                                                                                                                    | (A)<br>Total expenses | (B)<br>Program service expenses | (C)<br>Management and general expenses | (D)<br>Fundraising expenses |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|---------------------------------|----------------------------------------|-----------------------------|
| 1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21                                                                                                            | 20,883,646            | 20,883,646                      |                                        |                             |
| 2 Grants and other assistance to domestic individuals. See Part IV, line 22                                                                                                                                       | 9,478,448             | 9,478,448                       |                                        |                             |
| 3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16.                                                                               | 2,350,934             | 2,350,934                       |                                        |                             |
| 4 Benefits paid to or for members                                                                                                                                                                                 |                       |                                 |                                        |                             |
| 5 Compensation of current officers, directors, trustees, and key employees                                                                                                                                        | 1,093,484             | 699,627                         | 393,857                                |                             |
| 6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)                                                                   |                       |                                 |                                        |                             |
| 7 Other salaries and wages                                                                                                                                                                                        | 7,129,996             | 3,381,876                       | 2,135,973                              | 1,612,147                   |
| 8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)                                                                                                              |                       |                                 |                                        |                             |
| 9 Other employee benefits                                                                                                                                                                                         | 2,365,396             | 828,730                         | 875,686                                | 660,980                     |
| 10 Payroll taxes                                                                                                                                                                                                  | 53,679                | 53,679                          |                                        |                             |
| 11 Fees for services (non-employees):                                                                                                                                                                             |                       |                                 |                                        |                             |
| a Management                                                                                                                                                                                                      |                       |                                 |                                        |                             |
| b Legal                                                                                                                                                                                                           | 71,660                |                                 | 71,660                                 |                             |
| c Accounting                                                                                                                                                                                                      | 122,257               |                                 | 122,257                                |                             |
| d Lobbying                                                                                                                                                                                                        | 83,700                | 83,700                          |                                        |                             |
| e Professional fundraising services. See Part IV, line 17                                                                                                                                                         |                       |                                 |                                        |                             |
| f Investment management fees                                                                                                                                                                                      | 18,896,332            |                                 | 18,896,332                             |                             |
| g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O.)                                                                                                     | 4,117,555             | 3,448,260                       | 235,638                                | 433,657                     |
| 12 Advertising and promotion                                                                                                                                                                                      | 193,799               | 154,745                         |                                        | 39,054                      |
| 13 Office expenses                                                                                                                                                                                                | 1,126,157             | 881,223                         | 31,690                                 | 213,244                     |
| 14 Information technology                                                                                                                                                                                         | 894,567               | 512,219                         | 75,918                                 | 306,430                     |
| 15 Royalties                                                                                                                                                                                                      |                       |                                 |                                        |                             |
| 16 Occupancy                                                                                                                                                                                                      | 714,978               | 682,394                         | 32,584                                 |                             |
| 17 Travel                                                                                                                                                                                                         | 73,599                | 60,483                          | 5,768                                  | 7,348                       |
| 18 Payments of travel or entertainment expenses for any federal, state, or local public officials                                                                                                                 |                       |                                 |                                        |                             |
| 19 Conferences, conventions, and meetings                                                                                                                                                                         | 87,128                | 81,597                          | 316                                    | 5,215                       |
| 20 Interest                                                                                                                                                                                                       | 512                   | 512                             |                                        |                             |
| 21 Payments to affiliates                                                                                                                                                                                         |                       |                                 |                                        |                             |
| 22 Depreciation, depletion, and amortization                                                                                                                                                                      | 238,300               | 231,322                         | 6,978                                  |                             |
| 23 Insurance                                                                                                                                                                                                      | 152,198               | 64,940                          | 87,258                                 |                             |
| 24 Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)              |                       |                                 |                                        |                             |
| a EQUIPMENT AND RENTALS                                                                                                                                                                                           | 1,432,601             | 1,410,249                       | 19,532                                 | 2,820                       |
| b REPAIRS & MAINTENANCE                                                                                                                                                                                           | 441,169               | 435,643                         | 3,237                                  | 2,289                       |
| c MEMBERSHIP DUES                                                                                                                                                                                                 | 148,301               | 142,977                         | 2,945                                  | 2,379                       |
| d TAX EXPENSE                                                                                                                                                                                                     | 14,029                | 12,029                          | 2,000                                  | 0                           |
| e All other expenses                                                                                                                                                                                              | 298,763               | 281,707                         | 13,213                                 | 3,843                       |
| 25 Total functional expenses. Add lines 1 through 24e                                                                                                                                                             | 72,463,188            | 46,160,940                      | 23,012,842                             | 3,289,406                   |
| 26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here if following SOP 98-2 (ASC 958-720). |                       |                                 |                                        |                             |

Part X

Balance Sheet

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

☒

|                             |                                                                                                                               |                                                                                                                                                                                                                      |             | (A)               |             | (B)         |            |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|-------------------|-------------|-------------|------------|
|                             |                                                                                                                               |                                                                                                                                                                                                                      |             | Beginning of year |             | End of year |            |
| Assets                      | 1                                                                                                                             | Cash—non-interest-bearing . . . . .                                                                                                                                                                                  |             | 25,461,208        | 1           | 36,803,994  |            |
|                             | 2                                                                                                                             | Savings and temporary cash investments . . . . .                                                                                                                                                                     |             | 62,774,595        | 2           | 78,921,106  |            |
|                             | 3                                                                                                                             | Pledges and grants receivable, net . . . . .                                                                                                                                                                         |             | 98,931,529        | 3           | 97,745,497  |            |
|                             | 4                                                                                                                             | Accounts receivable, net . . . . .                                                                                                                                                                                   |             | 486,497           | 4           | 475,570     |            |
|                             | 5                                                                                                                             | Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons . . . . . |             |                   | 5           |             |            |
|                             | 6                                                                                                                             | Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B) . . . . .                                                          |             |                   | 6           |             |            |
|                             | 7                                                                                                                             | Notes and loans receivable, net . . . . .                                                                                                                                                                            |             | 168,434           | 7           | 68,434      |            |
|                             | 8                                                                                                                             | Inventories for sale or use . . . . .                                                                                                                                                                                |             | 21,250            | 8           | 22,334      |            |
|                             | 9                                                                                                                             | Prepaid expenses and deferred charges . . . . .                                                                                                                                                                      |             | 935,913           | 9           | 682,015     |            |
|                             | 10a                                                                                                                           | Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D . . . . .                                                                                                                        | 10a         | 15,426,796        |             |             |            |
|                             | b                                                                                                                             | Less: accumulated depreciation . . . . .                                                                                                                                                                             | 10b         | 4,038,223         | 11,173,358  | 10c         | 11,388,573 |
|                             | 11                                                                                                                            | Investments—publicly traded securities . . . . .                                                                                                                                                                     |             | 62,063,943        | 11          | 85,743,344  |            |
|                             | 12                                                                                                                            | Investments—other securities. See Part IV, line 11 . . . . .                                                                                                                                                         |             | 325,699,971       | 12          | 417,961,708 |            |
|                             | 13                                                                                                                            | Investments—program-related. See Part IV, line 11 . . . . .                                                                                                                                                          |             | 2,924,742         | 13          | 2,886,088   |            |
|                             | 14                                                                                                                            | Intangible assets . . . . .                                                                                                                                                                                          |             |                   | 14          |             |            |
|                             | 15                                                                                                                            | Other assets. See Part IV, line 11 . . . . .                                                                                                                                                                         |             |                   | 15          |             |            |
| 16                          | Total assets. Add lines 1 through 15 (must equal line 33) . . . . .                                                           |                                                                                                                                                                                                                      | 590,641,440 | 16                | 732,698,663 |             |            |
| Liabilities                 | 17                                                                                                                            | Accounts payable and accrued expenses . . . . .                                                                                                                                                                      |             | 4,982,380         | 17          | 6,584,879   |            |
|                             | 18                                                                                                                            | Grants payable . . . . .                                                                                                                                                                                             |             |                   | 18          |             |            |
|                             | 19                                                                                                                            | Deferred revenue . . . . .                                                                                                                                                                                           |             | 77,966            | 19          | 25,280      |            |
|                             | 20                                                                                                                            | Tax-exempt bond liabilities . . . . .                                                                                                                                                                                |             |                   | 20          |             |            |
|                             | 21                                                                                                                            | Escrow or custodial account liability. Complete Part IV of Schedule D . . . . .                                                                                                                                      |             | 48,884,761        | 21          | 52,666,256  |            |
|                             | 22                                                                                                                            | Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons . . . . . |             |                   | 22          |             |            |
|                             | 23                                                                                                                            | Secured mortgages and notes payable to unrelated third parties . . . . .                                                                                                                                             |             |                   | 23          |             |            |
|                             | 24                                                                                                                            | Unsecured notes and loans payable to unrelated third parties . . . . .                                                                                                                                               |             | 63,765            | 24          |             |            |
|                             | 25                                                                                                                            | Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17 - 24). Complete Part X of Schedule D . . . . .                                    |             | 2,234,023         | 25          | 724,637     |            |
|                             | 26                                                                                                                            | Total liabilities. Add lines 17 through 25 . . . . .                                                                                                                                                                 |             | 56,242,895        | 26          | 60,001,052  |            |
| Net Assets or Fund Balances | Organizations that follow FASB ASC 958, check here <input checked="" type="checkbox"/> and complete lines 27, 28, 32, and 33. |                                                                                                                                                                                                                      |             |                   |             |             |            |
|                             | 27                                                                                                                            | Net assets without donor restrictions . . . . .                                                                                                                                                                      |             | 40,682,551        | 27          | 65,079,348  |            |
|                             | 28                                                                                                                            | Net assets with donor restrictions . . . . .                                                                                                                                                                         |             | 493,715,994       | 28          | 607,618,263 |            |
|                             | Organizations that do not follow FASB ASC 958, check here <input type="checkbox"/> and complete lines 29 through 33.          |                                                                                                                                                                                                                      |             |                   |             |             |            |
|                             | 29                                                                                                                            | Capital stock or trust principal, or current funds . . . . .                                                                                                                                                         |             |                   | 29          |             |            |
|                             | 30                                                                                                                            | Paid-in or capital surplus, or land, building or equipment fund . . . . .                                                                                                                                            |             |                   | 30          |             |            |
|                             | 31                                                                                                                            | Retained earnings, endowment, accumulated income, or other funds . . . . .                                                                                                                                           |             |                   | 31          |             |            |
|                             | 32                                                                                                                            | Total net assets or fund balances . . . . .                                                                                                                                                                          |             | 534,398,545       | 32          | 672,697,611 |            |
|                             | 33                                                                                                                            | Total liabilities and net assets/fund balances . . . . .                                                                                                                                                             |             | 590,641,440       | 33          | 732,698,663 |            |

Part XI

Reconciliation of Net Assets

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

|    |                                                                                                                |    |             |
|----|----------------------------------------------------------------------------------------------------------------|----|-------------|
| 1  | Total revenue (must equal Part VIII, column (A), line 12)                                                      | 1  | 129,247,386 |
| 2  | Total expenses (must equal Part IX, column (A), line 25)                                                       | 2  | 72,463,188  |
| 3  | Revenue less expenses. Subtract line 2 from line 1                                                             | 3  | 56,784,198  |
| 4  | Net assets or fund balances at beginning of year (must equal Part X, line 32, column (A))                      | 4  | 534,398,545 |
| 5  | Net unrealized gains (losses) on investments                                                                   | 5  | 81,514,868  |
| 6  | Donated services and use of facilities                                                                         | 6  |             |
| 7  | Investment expenses                                                                                            | 7  |             |
| 8  | Prior period adjustments                                                                                       | 8  |             |
| 9  | Other changes in net assets or fund balances (explain in Schedule O)                                           | 9  | 0           |
| 10 | Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, column (A)) | 10 | 672,697,611 |

Part XII

Financial Statements and Reporting

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

|                                                                                                                                                                                                                                                                                                                                                                                                                              | Yes | No |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1 Accounting method used to prepare the Form 990: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____<br>If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.                                                                                                                                        |     |    |
| 2a Were the organization's financial statements compiled or reviewed by an independent accountant?<br>If 'Yes,' check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both:<br><input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis |     | No |
| b Were the organization's financial statements audited by an independent accountant?<br>If 'Yes,' check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both:<br><input type="checkbox"/> Separate basis <input checked="" type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis                 | Yes |    |
| c If "Yes," to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?<br>If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.                                                                     | Yes |    |
| 3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?                                                                                                                                                                                                                                                                  |     | No |
| b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits.                                                                                                                                                                                                      |     |    |

**Additional Data**

**Return to Form**

**Software ID:**

**Software Version:**

**Form 990, Special Condition Description:**

**Special Condition Description**

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

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.)

- 1

☐

A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
- 2

☐

A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990 or 990-EZ).)
- 3

☐

A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
- 4

☐

A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state:
- 5

☐

An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)
- 6

☐

A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
- 7

☒

An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 8

☐

A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 9

☐

An agricultural research organization described in **170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land grant college of agriculture. See instructions. Enter the name, city, and state of the college or university:
- 10

☐

An organization that normally receives: (1) more than 33<sup>1</sup>/<sub>3</sub>% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33<sup>1</sup>/<sub>3</sub>% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)
- 11

☐

An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**
- 12

☐

An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2).** See **section 509(a)(3).** Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
- a

☐

**Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
- b

☐

**Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
- c

☐

**Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
- d

☐

**Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
- e

☐

Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.
- f

Enter the number of supported organizations . . . . .
- g

Provide the following information about the supported organization(s).

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

Part II

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

Section A. Public Support

| Calendar year<br>(or fiscal year beginning in) ►                                                                                                                                                                  | (a) 2016   | (b) 2017   | (c) 2018   | (d) 2019   | (e) 2020   | (f) Total   |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|------------|------------|------------|------------|-------------|
| <b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grant.") . . .                                                                                                  | 62,350,041 | 58,869,092 | 65,217,329 | 54,558,793 | 95,728,137 | 336,723,392 |
| <b>2</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .                                                                                                |            |            |            |            |            |             |
| <b>3</b> The value of services or facilities furnished by a governmental unit to the organization without charge..                                                                                                |            |            |            |            |            |             |
| <b>4 Total.</b> Add lines 1 through 3                                                                                                                                                                             | 62,350,041 | 58,869,092 | 65,217,329 | 54,558,793 | 95,728,137 | 336,723,392 |
| <b>5</b> The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f). . . |            |            |            |            |            | 150,857,972 |
| <b>6 Public support.</b> Subtract line 5 from line 4.                                                                                                                                                             |            |            |            |            |            | 185,865,420 |

Section B. Total Support

| Calendar year<br>(or fiscal year beginning in) ►                                                                                                  | (a) 2016   | (b) 2017   | (c) 2018   | (d) 2019   | (e) 2020   | (f) Total   |
|---------------------------------------------------------------------------------------------------------------------------------------------------|------------|------------|------------|------------|------------|-------------|
| <b>7</b> Amounts from line 4. . .                                                                                                                 | 62,350,041 | 58,869,092 | 65,217,329 | 54,558,793 | 95,728,137 | 336,723,392 |
| <b>8</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . . . . | 1,549,797  | 2,004,637  | 2,084,723  | 1,749,850  | 761,711    | 8,150,718   |
| <b>9</b> Net income from unrelated business activities, whether or not the business is regularly carried on. . .                                  | 351,184    | 171,562    | 0          | 0          | 181,658    | 704,404     |
| <b>10</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.). . .                                    | 2,672,081  | 1,369,666  | 966,343    | 1,279,720  | 939,755    | 7,227,565   |
| <b>11 Total support.</b> Add lines 7 through 10                                                                                                   |            |            |            |            |            | 352,806,079 |

**12** Gross receipts from related activities, etc. (see instructions) . . . . . **12** 8,736,562

**13 First 5 years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** . . . . . ☐

Section C. Computation of Public Support Percentage

|                                                                                                            |           |          |
|------------------------------------------------------------------------------------------------------------|-----------|----------|
| <b>14</b> Public support percentage for 2020 (line 6, column (f) divided by line 11, column (f)) . . . . . | <b>14</b> | 52.680 % |
| <b>15</b> Public support percentage for 2019 Schedule A, Part II, line 14 . . . . .                        | <b>15</b> | 56.940 % |

**16a 33 1/3% support test—2020.** If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ☒

**b 33 1/3% support test—2019.** If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ☐

**17a 10%-facts-and-circumstances test—2020.** If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . . ☐

**b 10%-facts-and-circumstances test—2019.** If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . . ☐

**18 Private foundation.** If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions . . . . . ☐

Part IIISupport Schedule for Organizations Described in Section 509(a)(2)

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

| Section A. Public Support                                                                                                                                                  |          |          |          |          |          |           |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|----------|----------|----------|----------|-----------|
| Calendar year<br>(or fiscal year beginning in) ▶                                                                                                                           | (a) 2016 | (b) 2017 | (c) 2018 | (d) 2019 | (e) 2020 | (f) Total |
| 1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .                                                                     |          |          |          |          |          |           |
| 2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose |          |          |          |          |          |           |
| 3 Gross receipts from activities that are not an unrelated trade or business under section 513 . . . . .                                                                   |          |          |          |          |          |           |
| 4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . .                                                                  |          |          |          |          |          |           |
| 5 The value of services or facilities furnished by a governmental unit to the organization without charge                                                                  |          |          |          |          |          |           |
| 6 Total. Add lines 1 through 5                                                                                                                                             |          |          |          |          |          |           |
| 7a Amounts included on lines 1, 2, and 3 received from disqualified persons                                                                                                |          |          |          |          |          |           |
| b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year.          |          |          |          |          |          |           |
| c Add lines 7a and 7b. .                                                                                                                                                   |          |          |          |          |          |           |
| 8 Public support. (Subtract line 7c from line 6.)                                                                                                                          |          |          |          |          |          |           |

| Section B. Total Support                                                                                                                                                               |          |          |          |          |          |           |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|----------|----------|----------|----------|-----------|
| Calendar year<br>(or fiscal year beginning in) ▶                                                                                                                                       | (a) 2016 | (b) 2017 | (c) 2018 | (d) 2019 | (e) 2020 | (f) Total |
| 9 Amounts from line 6. . .                                                                                                                                                             |          |          |          |          |          |           |
| 10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . .                                                 |          |          |          |          |          |           |
| b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975.                                                                             |          |          |          |          |          |           |
| c Add lines 10a and 10b.                                                                                                                                                               |          |          |          |          |          |           |
| 11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on.                                                        |          |          |          |          |          |           |
| 12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . .                                                                                 |          |          |          |          |          |           |
| 13 Total support. (Add lines 9, 10c, 11, and 12.) . .                                                                                                                                  |          |          |          |          |          |           |
| 14 First 5 years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here. . . . . |          |          |          |          |          |           |

| Section C. Computation of Public Support Percentage                                                 |    |  |
|-----------------------------------------------------------------------------------------------------|----|--|
| 15 Public support percentage for 2020 (line 8, column (f) divided by line 13, column (f)) . . . . . | 15 |  |
| 16 Public support percentage from 2019 Schedule A, Part III, line 15 . . . . .                      | 16 |  |

| Section D. Computation of Investment Income Percentage                                                                                                                                                                                                                       |    |  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|--|
| 17 Investment income percentage for 2020 (line 10c, column (f) divided by line 13, column (f)) . . . . .                                                                                                                                                                     | 17 |  |
| 18 Investment income percentage from 2019 Schedule A, Part III, line 17 . . . . .                                                                                                                                                                                            | 18 |  |
| 19a 33 1/3% support tests—2020. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization . . . . .        |    |  |
| b 33 1/3% support tests—2019. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization . . . . . |    |  |
| 20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions . . . . .                                                                                                                                        |    |  |

**Part IV Supporting Organizations**

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

**Section A. All Supporting Organizations**

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

Part IV Supporting Organizations (continued)

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

Section B. Type I Supporting Organizations

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

Section C. Type II Supporting Organizations

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

Section D. All Type III Supporting Organizations

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

Section E. Type III Functionally-Integrated Supporting Organizations

|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |  |  |  |
|---|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|
| 1 | Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions):                                                                                                                                                                                                                                                                                                                                                                                       |  |  |  |
| a | <input type="checkbox"/> The organization satisfied the Activities Test. Complete line 2 below.                                                                                                                                                                                                                                                                                                                                                                                                                         |  |  |  |
| b | <input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete line 3 below.                                                                                                                                                                                                                                                                                                                                                                                                  |  |  |  |
| c | <input type="checkbox"/> The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions)                                                                                                                                                                                                                                                                                                                                                                 |  |  |  |
| 2 | Activities Test. Answer lines 2a and 2b below.                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |  |  |  |
| a | Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities. |  |  |  |
| b | Did the activities described in line 2a constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.                                                                                                                          |  |  |  |
| 3 | Parent of Supported Organizations. Answer lines 3a and 3b below.                                                                                                                                                                                                                                                                                                                                                                                                                                                        |  |  |  |
| a | Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? If "Yes" or "No" provide details in Part VI.                                                                                                                                                                                                                                                                                                               |  |  |  |
| b | Did the organization exercise a substantial degree of direction over the policies, programs and activities of each of its supported organizations? If "Yes," describe in Part VI. the role played by the organization in this regard.                                                                                                                                                                                                                                                                                   |  |  |  |

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

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

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

| Section B - Minimum Asset Amount |                                                                                                                                 | (A) Prior Year | (B) Current Year (optional) |
|----------------------------------|---------------------------------------------------------------------------------------------------------------------------------|----------------|-----------------------------|
| <b>1</b>                         | Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year): | <b>1</b>       |                             |
| <b>a</b>                         | Average monthly value of securities                                                                                             | <b>1a</b>      |                             |
| <b>b</b>                         | Average monthly cash balances                                                                                                   | <b>1b</b>      |                             |
| <b>c</b>                         | Fair market value of other non-exempt-use assets                                                                                | <b>1c</b>      |                             |
| <b>d</b>                         | <b>Total</b> (add lines 1a, 1b, and 1c)                                                                                         | <b>1d</b>      |                             |
| <b>e</b>                         | <b>Discount</b> claimed for blockage or other factors ( <i>explain in detail in <b>Part VI</b></i> ):                           |                |                             |
| <b>2</b>                         | Acquisition indebtedness applicable to non-exempt use assets                                                                    | <b>2</b>       |                             |
| <b>3</b>                         | Subtract line 2 from line 1d                                                                                                    | <b>3</b>       |                             |
| <b>4</b>                         | Cash deemed held for exempt use. Enter 0.015 of line 3 (for greater amount, see instructions).                                  | <b>4</b>       |                             |
| <b>5</b>                         | Net value of non-exempt-use assets (subtract line 4 from line 3)                                                                | <b>5</b>       |                             |
| <b>6</b>                         | Multiply line 5 by 0.035                                                                                                        | <b>6</b>       |                             |
| <b>7</b>                         | Recoveries of prior-year distributions                                                                                          | <b>7</b>       |                             |
| <b>8</b>                         | <b>Minimum Asset Amount</b> (add line 7 to line 6)                                                                              | <b>8</b>       |                             |

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

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

| Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued) |                                                                                                                                           |              |
|--------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| Section D - Distributions                                                                  |                                                                                                                                           | Current Year |
| 1                                                                                          | Amounts paid to supported organizations to accomplish exempt purposes                                                                     | 1            |
| 2                                                                                          | Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity     | 2            |
| 3                                                                                          | Administrative expenses paid to accomplish exempt purposes of supported organizations                                                     | 3            |
| 4                                                                                          | Amounts paid to acquire exempt-use assets                                                                                                 | 4            |
| 5                                                                                          | Qualified set-aside amounts (prior IRS approval required - provide details in Part VI)                                                    | 5            |
| 6                                                                                          | Other distributions (describe in Part VI). See instructions                                                                               | 6            |
| 7                                                                                          | Total annual distributions. Add lines 1 through 6.                                                                                        | 7            |
| 8                                                                                          | Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions | 8            |
| 9                                                                                          | Distributable amount for 2020 from Section C, line 6                                                                                      | 9            |
| 10                                                                                         | Line 8 amount divided by Line 9 amount                                                                                                    | 10           |

| Section E - Distribution Allocations (see instructions) | (i) Excess Distributions                                                                                                                                                       | (ii) Underdistributions Pre-2020 | (iii) Distributable Amount for 2020 |
|---------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|-------------------------------------|
| 1                                                       | Distributable amount for 2020 from Section C, line 6                                                                                                                           |                                  |                                     |
| 2                                                       | Underdistributions, if any, for years prior to 2020 (reasonable cause required-- explain in Part VI ). See instructions.                                                       |                                  |                                     |
| 3                                                       | Excess distributions carryover, if any, to 2020:                                                                                                                               |                                  |                                     |
| a                                                       | From 2015. . . . .                                                                                                                                                             |                                  |                                     |
| b                                                       | From 2016. . . . .                                                                                                                                                             |                                  |                                     |
| c                                                       | From 2017. . . . .                                                                                                                                                             |                                  |                                     |
| d                                                       | From 2018. . . . .                                                                                                                                                             |                                  |                                     |
| e                                                       | From 2019. . . . .                                                                                                                                                             |                                  |                                     |
| f                                                       | Total of lines 3a through e                                                                                                                                                    |                                  |                                     |
| g                                                       | Applied to underdistributions of prior years                                                                                                                                   |                                  |                                     |
| h                                                       | Applied to 2020 distributable amount                                                                                                                                           |                                  |                                     |
| i                                                       | Carryover from 2015 not applied (see instructions)                                                                                                                             |                                  |                                     |
| j                                                       | Remainder. Subtract lines 3g, 3h, and 3i from line 3f.                                                                                                                         |                                  |                                     |
| 4                                                       | Distributions for 2020 from Section D, line 7: \$                                                                                                                              |                                  |                                     |
| a                                                       | Applied to underdistributions of prior years                                                                                                                                   |                                  |                                     |
| b                                                       | Applied to 2020 distributable amount                                                                                                                                           |                                  |                                     |
| c                                                       | Remainder. Subtract lines 4a and 4b from line 4.                                                                                                                               |                                  |                                     |
| 5                                                       | Remaining underdistributions for years prior to 2020, if any. Subtract lines 3g and 4a from line 2. If the amount is greater than zero, explain in Part VI . See instructions. |                                  |                                     |
| 6                                                       | Remaining underdistributions for 2020. Subtract lines 3h and 4b from line 1. If the amount is greater than zero, explain in Part VI. See instructions.                         |                                  |                                     |
| 7                                                       | Excess distributions carryover to 2021. Add lines 3j and 4c.                                                                                                                   |                                  |                                     |
| 8                                                       | Breakdown of line 7:                                                                                                                                                           |                                  |                                     |
| a                                                       | Excess from 2016. . . . .                                                                                                                                                      |                                  |                                     |
| b                                                       | Excess from 2017. . . . .                                                                                                                                                      |                                  |                                     |
| c                                                       | Excess from 2018. . . . .                                                                                                                                                      |                                  |                                     |
| d                                                       | Excess from 2019. . . . .                                                                                                                                                      |                                  |                                     |
| e                                                       | Excess from 2020. . . . .                                                                                                                                                      |                                  |                                     |

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

Facts And Circumstances Test

| Return Reference                                           | Explanation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| SCHEDULE A, PART II, LINE 10, EXPLANATION OF OTHER INCOME: | GROSS INCOME FROM FUNDRAISING - 2016 AMOUNT: \$ 273,234. 2017 AMOUNT: \$ 233,725. 2018 AMOUNT: \$ 288,424. 2019 AMOUNT: \$ 148,146. 2020 AMOUNT: \$ 0. GROSS INCOME FROM GAMING - 2016 AMOUNT: \$ 26,089. 2017 AMOUNT: \$ 25,649. 2018 AMOUNT: \$ 28,550. 2019 AMOUNT: \$ 29,705. 2020 AMOUNT: \$ 0. CONTRACTED SERVICES - 2016 AMOUNT: \$ 1,259,928. 2017 AMOUNT: \$ 1,025,085. 2018 AMOUNT: \$ 561,093. 2019 AMOUNT: \$ 762,593. 2020 AMOUNT: \$ 898,856. TRANSFER OF RESEARCH FUNDS - 2016 AMOUNT: \$ 988,069. 2017 AMOUNT: \$ 0. 2018 AMOUNT: \$ 0. 2019 AMOUNT: \$ 0. 2020 AMOUNT: \$ 0. GROSS SALES OF INVENTORY - 2016 AMOUNT: \$ 33,058. 2017 AMOUNT: \$ 28,021. 2018 AMOUNT: \$ 27,585. 2019 AMOUNT: \$ 18,169. 2020 AMOUNT: \$ 12,887. MISCELLANEOUS - 2016 AMOUNT: \$ 91,703. 2017 AMOUNT: \$ 57,186. 2018 AMOUNT: \$ 60,691. 2019 AMOUNT: \$ 321,107. 2020 AMOUNT: \$ 28,012. |

## Additional Data

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|                                                                                                              |                                                                                                                                                                                     |                                                     |
|--------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
| <b>Schedule B</b><br>(Form 990, 990-EZ, or 990-PF)<br>Department of the Treasury<br>Internal Revenue Service | <b>Schedule of Contributors</b><br><br>▶ Attach to Form 990, 990-EZ, or 990-PF.<br>▶ Go to <a href="http://www.irs.gov/Form990">www.irs.gov/Form990</a> for the latest information. | OMB No. 1545-0047                                   |
|                                                                                                              |                                                                                                                                                                                     | <b>2020</b>                                         |
| Name of the organization<br>STONY BROOK FOUNDATION INC                                                       |                                                                                                                                                                                     | <b>Employer identification number</b><br>11-6077945 |

Organization type (check one):

|                    |                                                                                                           |
|--------------------|-----------------------------------------------------------------------------------------------------------|
| <b>Filers of:</b>  | <b>Section:</b>                                                                                           |
| Form 990 or 990-EZ | <input type="checkbox"/> 501(c)( ) (enter number) organization                                            |
|                    | <input type="checkbox"/> 4947(a)(1) nonexempt charitable trust <b>not</b> treated as a private foundation |
|                    | <input type="checkbox"/> 527 political organization                                                       |
| Form 990-PF        | <input type="checkbox"/> 501(c)(3) exempt private foundation                                              |
|                    | <input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation            |
|                    | <input type="checkbox"/> 501(c)(3) taxable private foundation                                             |

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

General Rule

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

Special Rules

☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33<sup>1</sup>/<sub>3</sub>% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year . . . . . ▶ \$ \_\_\_\_\_

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

**Employer identification number**  
11-6077945

## Part I

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

|                                                    |                                              |
|----------------------------------------------------|----------------------------------------------|
| Name of organization<br>STONY BROOK FOUNDATION INC | Employer identification number<br>11-6077945 |
|----------------------------------------------------|----------------------------------------------|

Part II

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

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

|                                                    |                                              |
|----------------------------------------------------|----------------------------------------------|
| Name of organization<br>STONY BROOK FOUNDATION INC | Employer identification number<br>11-6077945 |
|----------------------------------------------------|----------------------------------------------|

Part III

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

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

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

# Additional Data

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If the organization answered "Yes" on Form 990, Part IV, Line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then

- Section 501(c)(3) organizations: Complete Parts I-A and B. Do not complete Part I-C.
- Section 501(c) (other than section 501(c)(3)) organizations: Complete Parts I-A and C below. Do not complete Part I-B.
- Section 527 organizations: Complete Part I-A only.

If the organization answered "Yes" on Form 990, Part IV, Line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)): Complete Part II-A. Do not complete Part II-B.
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)): Complete Part II-B. Do not complete Part II-A.

If the organization answered "Yes" on Form 990, Part IV, Line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then

- Section 501(c)(4), (5), or (6) organizations: Complete Part III.

|                                                        |                                              |
|--------------------------------------------------------|----------------------------------------------|
| Name of the organization<br>STONY BROOK FOUNDATION INC | Employer identification number<br>11-6077945 |
|--------------------------------------------------------|----------------------------------------------|

Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.

|   |                                                                                                                                                                               |    |
|---|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|
| 1 | Provide a description of the organization's direct and indirect political campaign activities in Part IV (see instructions for definition of "political campaign activities") |    |
| 2 | Political campaign activity expenditures (see instructions)                                                                                                                   | \$ |
| 3 | Volunteer hours for political campaign activities (see instructions)                                                                                                          |    |

Part I-B Complete if the organization is exempt under section 501(c)(3).

|    |                                                                                         |                                                          |
|----|-----------------------------------------------------------------------------------------|----------------------------------------------------------|
| 1  | Enter the amount of any excise tax incurred by the organization under section 4955      | \$                                                       |
| 2  | Enter the amount of any excise tax incurred by organization managers under section 4955 | \$                                                       |
| 3  | If the organization incurred a section 4955 tax, did it file Form 4720 for this year?   | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 4a | Was a correction made?                                                                  | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| b  | If "Yes," describe in Part IV.                                                          |                                                          |

Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).

|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                          |
|---|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| 1 | Enter the amount directly expended by the filing organization for section 527 exempt function activities                                                                                                                                                                                                                                                                                                                                                                                                                                    | \$                                                       |
| 2 | Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities                                                                                                                                                                                                                                                                                                                                                                                                           | \$                                                       |
| 3 | Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL, line 17b                                                                                                                                                                                                                                                                                                                                                                                                                                            | \$                                                       |
| 4 | Did the filing organization file Form 1120-POL for this year?                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 5 | Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments. For each organization listed, enter the amount paid from the filing organization's funds. Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC). If additional space is needed, provide information in Part IV. |                                                          |

| (a) Name | (b) Address | (c) EIN | (d) Amount paid from filing organization's funds. If none, enter -0-. | (e) Amount of political contributions received and promptly and directly delivered to a separate political organization. If none, enter -0-. |
|----------|-------------|---------|-----------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|
| 1        |             |         |                                                                       |                                                                                                                                              |
| 2        |             |         |                                                                       |                                                                                                                                              |
| 3        |             |         |                                                                       |                                                                                                                                              |
| 4        |             |         |                                                                       |                                                                                                                                              |
| 5        |             |         |                                                                       |                                                                                                                                              |
| 6        |             |         |                                                                       |                                                                                                                                              |

Part II-A

Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).

- A
- Check
- ☐
- if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures).
- B
- Check
- ☐
- if the filing organization checked box A and "limited control" provisions apply.

| Limits on Lobbying Expenditures<br>(The term "expenditures" means amounts paid or incurred.)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                    | (a) Filing organization's totals                         | (b) Affiliated group totals        |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------|----------------------------------------------------------|------------------------------------|--------------------|-------------------------------|-----------------------------------------|--------------------------------------------------|-------------------------------------------|----------------------------------------------------|--------------------------------------------|---------------------------------------------------|-------------------|--------------|--|--|
| 1a Total lobbying expenditures to influence public opinion (grass roots lobbying) .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                    |                                                          |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| b Total lobbying expenditures to influence a legislative body (direct lobbying) .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                    | 83,700                                                   |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| c Total lobbying expenditures (add lines 1a and 1b) .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                    | 83,700                                                   |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| d Other exempt purpose expenditures .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                    | 72,379,488                                               |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| e Total exempt purpose expenditures (add lines 1c and 1d) .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                    | 72,463,188                                               |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| f Lobbying nontaxable amount. Enter the amount from the following table in both columns.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                    | 1,000,000                                                |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| <table><tr><th>If the amount on line 1e, column (a) or (b) is:</th><th>The lobbying nontaxable amount is:</th></tr><tr><td>Not over \$500,000</td><td>20% of the amount on line 1e.</td></tr><tr><td>Over \$500,000 but not over \$1,000,000</td><td>\$100,000 plus 15% of the excess over \$500,000.</td></tr><tr><td>Over \$1,000,000 but not over \$1,500,000</td><td>\$175,000 plus 10% of the excess over \$1,000,000.</td></tr><tr><td>Over \$1,500,000 but not over \$17,000,000</td><td>\$225,000 plus 5% of the excess over \$1,500,000.</td></tr><tr><td>Over \$17,000,000</td><td>\$1,000,000.</td></tr></table> |                                                    | If the amount on line 1e, column (a) or (b) is:          | The lobbying nontaxable amount is: | Not over \$500,000 | 20% of the amount on line 1e. | Over \$500,000 but not over \$1,000,000 | \$100,000 plus 15% of the excess over \$500,000. | Over \$1,000,000 but not over \$1,500,000 | \$175,000 plus 10% of the excess over \$1,000,000. | Over \$1,500,000 but not over \$17,000,000 | \$225,000 plus 5% of the excess over \$1,500,000. | Over \$17,000,000 | \$1,000,000. |  |  |
| If the amount on line 1e, column (a) or (b) is:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | The lobbying nontaxable amount is:                 |                                                          |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| Not over \$500,000                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | 20% of the amount on line 1e.                      |                                                          |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| Over \$500,000 but not over \$1,000,000                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | \$100,000 plus 15% of the excess over \$500,000.   |                                                          |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| Over \$1,000,000 but not over \$1,500,000                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | \$175,000 plus 10% of the excess over \$1,000,000. |                                                          |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| Over \$1,500,000 but not over \$17,000,000                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | \$225,000 plus 5% of the excess over \$1,500,000.  |                                                          |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| Over \$17,000,000                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | \$1,000,000.                                       |                                                          |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| g Grassroots nontaxable amount (enter 25% of line 1f) .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                    | 250,000                                                  |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| h Subtract line 1g from line 1a. If zero or less, enter -0-. .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                    | 0                                                        |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| i Subtract line 1f from line 1c. If zero or less, enter -0-. .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                    | 0                                                        |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |
| j If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year? .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                    | <input type="checkbox"/> Yes <input type="checkbox"/> No |                                    |                    |                               |                                         |                                                  |                                           |                                                    |                                            |                                                   |                   |              |  |  |

4-Year Averaging Period Under Section 501(h)  
(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the separate instructions for lines 2a through 2f.)

| Lobbying Expenditures During 4-Year Averaging Period      |           |           |           |           |           |
|-----------------------------------------------------------|-----------|-----------|-----------|-----------|-----------|
| Calendar year (or fiscal year beginning in)               | (a) 2017  | (b) 2018  | (c) 2019  | (d) 2020  | (e) Total |
| 2a Lobbying nontaxable amount                             | 1,000,000 | 1,000,000 | 1,000,000 | 1,000,000 | 4,000,000 |
| b Lobbying ceiling amount (150% of line 2a, column(e))    |           |           |           |           | 6,000,000 |
| c Total lobbying expenditures                             | 60,000    | 60,000    | 60,000    | 83,700    | 263,700   |
| d Grassroots nontaxable amount                            | 250,000   | 250,000   | 250,000   | 250,000   | 1,000,000 |
| e Grassroots ceiling amount (150% of line 2d, column (e)) |           |           |           |           | 1,500,000 |
| f Grassroots lobbying expenditures                        |           |           |           |           |           |

For each "Yes" response on lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.

**Part III-A** Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).

**Part III-B** Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered "No" OR (b) Part III-A, line 3, is answered "Yes."

Part IV Supplemental Information

| Return Reference                 | Explanation                                                                                                                                                                                                         |
|----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| SCHEDULE C, PART II-A, LINE 1(B) | THE FOUNDATION DOES NOT ENGAGE IN ANY DIRECT LOBBYING ACTIVITY ITSELF; THE FOUNDATION HIRES AN OUTSIDE LOBBYING CONSULTANT TO ADVOCATE ON BEHALF OF EDUCATIONAL AND BUDGET ISSUES IMPACTING STONY BROOK UNIVERSITY. |

## Additional Data

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Software ID:

Software Version:

Name of the organization  
STONY BROOK FOUNDATION INC

Employer identification number  
11-6077945

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

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

5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? . . . . .

☐ Yes ☐ No

6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? . . . . .

☐ Yes ☐ No

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

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

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

a Total number of conservation easements . . . . .

b Total acreage restricted by conservation easements . . . . .

c Number of conservation easements on a certified historic structure included in (a) . . . . .

d Number of conservation easements included in (c) acquired after 7/25/06, and not on a historic structure listed in the National Register . . . . .

|    | Held at the End of the Year |
|----|-----------------------------|
| 2a |                             |
| 2b |                             |
| 2c |                             |
| 2d |                             |

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

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

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

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

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

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

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

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

1a If the organization elected, as permitted under FASB ASC 958, not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under FASB ASC 958, to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:  
(i) Revenue included on Form 990, Part VIII, line 1 . . . . . ▶ \$ 508,129  
(ii) Assets included in Form 990, Part X . . . . . ▶ \$ 7,469,621

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under FASB ASC 958 relating to these items:  
a Revenue included on Form 990, Part VIII, line 1 . . . . . ▶ \$  
b Assets included in Form 990, Part X . . . . . ▶ \$

For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Cat. No.  
52283D

Schedule D (Form 990) 2020

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets (continued)

3

Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):

a

☒ Public exhibition

d

☐ Loan or exchange programs

b

☒ Scholarly research

e

☐ Other .....

c

☒ Preservation for future generations

4

Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5

During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? . . .

☐ Yes

☒ No

Part IV Escrow and Custodial Arrangements.

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

1a

Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? . . . . .

☐ Yes

☒ No

b

If "Yes," explain the arrangement in Part XIII and complete the following table:

c

Beginning balance . . . . .

d

Additions during the year . . . . .

e

Distributions during the year . . . . .

f

Ending balance . . . . .

|    | Amount |
|----|--------|
| 1c |        |
| 1d |        |
| 1e |        |
| 1f |        |

2a

Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? ☒ Yes ☐ No

b

If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided in Part XIII . . . . ☒

Part V Endowment Funds.

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

|                                                            | (a) Current year | (b) Prior year | (c) Two years back | (d) Three years back | (e) Four years back |
|------------------------------------------------------------|------------------|----------------|--------------------|----------------------|---------------------|
| 1a Beginning of year balance . . . . .                     | 279,331,275      | 265,806,703    | 244,955,670        | 233,966,854          | 219,656,875         |
| b Contributions . . . . .                                  | 27,463,817       | 21,065,306     | 17,716,212         | 8,032,140            | 12,982,642          |
| c Net investment earnings, gains, and losses               | 69,845,141       | 3,751,752      | 22,532,062         | 21,666,546           | 19,444,388          |
| d Grants or scholarships . . . . .                         |                  |                |                    |                      |                     |
| e Other expenditures for facilities and programs . . . . . | 7,998,445        | 9,656,291      | 11,988,894         | 11,077,413           | 10,134,900          |
| f Administrative expenses . . . . .                        | 1,942,402        | 1,636,195      | 7,408,347          | 7,632,457            | 7,982,151           |
| g End of year balance . . . . .                            | 366,699,386      | 279,331,275    | 265,806,703        | 244,955,670          | 233,966,854         |

2

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

a

Board designated or quasi-endowment ▶ 5.950 %

b

Permanent endowment ▶ 59.840 %

c

Term endowment ▶ 34.210 %

The percentages on lines 2a, 2b, and 2c should equal 100%.

3a

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

(i) Unrelated organizations . . . . .

(ii) Related organizations . . . . .

b

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

|        | Yes | No |
|--------|-----|----|
| 3a(i)  |     | No |
| 3a(ii) |     | No |
| 3b     |     |    |

4

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

Part VI Land, Buildings, and Equipment.

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

| Description of property                                                                                   | (a) Cost or other basis (investment) | (b) Cost or other basis (other) | (c) Accumulated depreciation | (d) Book value |
|-----------------------------------------------------------------------------------------------------------|--------------------------------------|---------------------------------|------------------------------|----------------|
| 1a Land . . . . .                                                                                         |                                      | 1,065,854                       |                              | 1,065,854      |
| b Buildings . . . . .                                                                                     |                                      | 6,804,608                       | 3,486,093                    | 3,318,515      |
| c Leasehold improvements                                                                                  |                                      |                                 |                              |                |
| d Equipment . . . . .                                                                                     |                                      | 168,927                         | 147,403                      | 21,524         |
| e Other . . . . .                                                                                         |                                      | 7,387,407                       | 404,727                      | 6,982,680      |
| Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10(c).) . . . ▶ |                                      |                                 |                              | 11,388,573     |

Schedule D (Form 990) 2020

Part VII

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

| (a) Description of security or category<br>(including name of security) | (b) Book value | (c) Method of valuation:<br>Cost or end-of-year market value |
|-------------------------------------------------------------------------|----------------|--------------------------------------------------------------|
| (1) Financial derivatives . . . . .                                     |                |                                                              |
| (2) Closely-held equity interests . . . . .                             |                |                                                              |
| (3) Other _____                                                         |                |                                                              |
| (A) INVESTMENTS IN US EQUITY FUNDS                                      | 148,011,770    | F                                                            |
| (B) INVESTMENTS IN MULTI-STRATEGY                                       | 85,369,984     | F                                                            |
| (C) INVESTMENTS IN PRIVATE EQUITY                                       | 128,045,953    | F                                                            |
| (D) INVESTMENTS IN GLOBAL EQUITY                                        | 55,551,394     | F                                                            |
| (E) INVESTMENTS IN DIVERSIFIED FIX                                      | 882,607        | F                                                            |
| (F) INV. IN SBHC PRIVATE EQUITY IV, LLC                                 | 100,000        | F                                                            |
| (G)                                                                     |                |                                                              |
| (H)                                                                     |                |                                                              |
| (I)                                                                     |                |                                                              |
| Total. (Column (b) must equal Form 990, Part X, col. (B) line 12.)      | 417,961,708    |                                                              |

Part VIII

Investments—Program Related.  
Complete if the organization answered 'Yes' on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

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

Part IX

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

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

Part X

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

| 1. (a) Description of liability                                                                                                                                                                                                                                                                                                             | (b) Book value |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| (1) Federal income taxes                                                                                                                                                                                                                                                                                                                    |                |
| (2)                                                                                                                                                                                                                                                                                                                                         |                |
| (3)                                                                                                                                                                                                                                                                                                                                         |                |
| (4)                                                                                                                                                                                                                                                                                                                                         |                |
| (5)                                                                                                                                                                                                                                                                                                                                         |                |
| (6)                                                                                                                                                                                                                                                                                                                                         |                |
| (7)                                                                                                                                                                                                                                                                                                                                         |                |
| (8)                                                                                                                                                                                                                                                                                                                                         |                |
| (9)                                                                                                                                                                                                                                                                                                                                         |                |
| Total. (Column (b) must equal Form 990, Part X, col.(B) line 25.)                                                                                                                                                                                                                                                                           | 724,637        |
| 2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII <input checked="" type="checkbox"/> |                |

Part XI

Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.

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

|   |                                                                                           |    |             |
|---|-------------------------------------------------------------------------------------------|----|-------------|
| 1 | Total revenue, gains, and other support per audited financial statements . . . . .        | 1  | 191,873,097 |
| 2 | Amounts included on line 1 but not on Form 990, Part VIII, line 12:                       |    |             |
| a | Net unrealized gains (losses) on investments . . . . .                                    | 2a | 81,514,868  |
| b | Donated services and use of facilities . . . . .                                          | 2b |             |
| c | Recoveries of prior year grants . . . . .                                                 | 2c |             |
| d | Other (Describe in Part XIII.) . . . . .                                                  | 2d |             |
| e | Add lines 2a through 2d . . . . .                                                         | 2e | 81,514,868  |
| 3 | Subtract line 2e from line 1 . . . . .                                                    | 3  | 110,358,229 |
| 4 | Amounts included on Form 990, Part VIII, line 12, but not on line 1:                      |    |             |
| a | Investment expenses not included on Form 990, Part VIII, line 7b . . . . .                | 4a | 18,896,289  |
| b | Other (Describe in Part XIII.) . . . . .                                                  | 4b | -7,132      |
| c | Add lines 4a and 4b . . . . .                                                             | 4c | 18,889,157  |
| 5 | Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12.) . . . . . | 5  | 129,247,386 |

Part XII

Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

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

|   |                                                                                            |    |            |
|---|--------------------------------------------------------------------------------------------|----|------------|
| 1 | Total expenses and losses per audited financial statements . . . . .                       | 1  | 53,574,031 |
| 2 | Amounts included on line 1 but not on Form 990, Part IX, line 25:                          |    |            |
| a | Donated services and use of facilities . . . . .                                           | 2a |            |
| b | Prior year adjustments . . . . .                                                           | 2b |            |
| c | Other losses . . . . .                                                                     | 2c |            |
| d | Other (Describe in Part XIII.) . . . . .                                                   | 2d | 7,132      |
| e | Add lines 2a through 2d . . . . .                                                          | 2e | 7,132      |
| 3 | Subtract line 2e from line 1 . . . . .                                                     | 3  | 53,566,899 |
| 4 | Amounts included on Form 990, Part IX, line 25, but not on line 1:                         |    |            |
| a | Investment expenses not included on Form 990, Part VIII, line 7b . . . . .                 | 4a | 18,896,289 |
| b | Other (Describe in Part XIII.) . . . . .                                                   | 4b |            |
| c | Add lines 4a and 4b . . . . .                                                              | 4c | 18,896,289 |
| 5 | Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.) . . . . . | 5  | 72,463,188 |

Part XIII

Supplemental Information

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

| Return Reference                       | Explanation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| PART III, LINE 4:                      | ORGANIZATIONS COLLECTIONS OF ART, HISTORICAL TREASURES OR OTHER ASSETS THE FOUNDATION OWNS THE POLLOCK-KRASNER HOUSE AND STUDY CENTER. THE CENTER OPERATES AS A MUSEUM AND LIBRARY. THE EXTENSIVE RESEARCH COLLECTIONS DEVELOPED AT THE CENTER ATTRACT SCHOLARS, STUDENTS AND RESEARCHERS FROM AROUND THE WORLD. THE UNITED STATES DEPARTMENT OF THE INTERIOR HAS DESIGNATED IT AS A NATIONAL HISTORIC LANDMARK. THE FOUNDATION ALSO OWNS VARIOUS BOOKS, PHOTOGRAPHS, JOURNAL COLLECTIONS, AND FINE ARTS USED TO FURTHER THE MISSION OF SUNY STONY BROOK BY NURTURING ACADEMIC INSTRUCTION, RESEARCH, LIBRARY AND PUBLIC SERVICE.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| PART IV, LINE 2B:                      | ESCROW AND CUSTODIAL ARRANGEMENTS THE FOUNDATION HOLDS FUNDS AS A TRUSTEE/DISBURSING AGENT FOR AUXILIARY AGENCIES OF STONY BROOK UNIVERSITY, WHICH AMOUNTED TO \$52,666,256 AS OF JUNE 30, 2021. SUCH AMOUNTS ARE INCLUDED IN CASH AND CASH EQUIVALENTS AND OTHER INVESTMENTS IN THE ACCOMPANYING COMBINED STATEMENTS OF FINANCIAL POSITION. THE FOUNDATION CHARGES FEES TO THESE AGENCIES FOR ADMINISTRATIVE COSTS, WHICH AMOUNTED TO \$1,587,062 FOR FISCAL YEAR 2021, WHICH IS INCLUDED IN CONTRACTS AND OTHER SUPPORT IN THE COMBINED STATEMENT OF ACTIVITIES.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| PART V, LINE 4:                        | ENDOWMENT FUNDS THE FOUNDATION'S ENDOWMENT IS INTENDED TO SUBSIDIZE ITS CHARITABLE MISSION OF SUPPORTING STONY BROOK UNIVERSITY'S EDUCATIONAL PROGRAMS. ALTHOUGH THE FOUNDATION'S ADOPTED POLICIES ALLOW FOR THE APPROPRIATION FOR EXPENDITURE OF THE PRINCIPAL OF ENDOWMENT FUNDS IN CERTAIN CASES WHERE DOING SO IS DEEMED PRUDENT, THE FOUNDATION GENERALLY LEAVES THE ENDOWMENT ASSETS UNTOUCHED, WHILE USING INVESTMENT INCOME TO FUND VARIOUS CHARITABLE PROGRAMS AND INITIATIVES.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| PART X, LINE 2:                        | ASC 740 FOOTNOTE THE FOUNDATION FOLLOWS GUIDANCE THAT CLARIFIES THE ACCOUNTING FOR UNCERTAINTY IN TAX POSITIONS TAKEN OR EXPECTED TO BE TAKEN IN A TAX RETURN, INCLUDING ISSUES RELATING TO FINANCIAL STATEMENT RECOGNITION AND MEASUREMENT. THIS GUIDANCE PROVIDES THAT THE TAX EFFECTS FROM AN UNCERTAIN TAX POSITION CAN ONLY BE RECOGNIZED IN THE FINANCIAL STATEMENTS IF THE POSITION IS "MORE-LIKELY-THAN-NOT" TO BE SUSTAINED IF THE POSITION WERE TO BE CHALLENGED BY A TAXING AUTHORITY. THE ASSESSMENT OF THE TAX POSITION IS BASED SOLELY ON THE TECHNICAL MERITS OF THE POSITION, WITHOUT REGARD TO THE LIKELIHOOD THAT THE TAX POSITION MAY BE CHALLENGED. THE FOUNDATION IS EXEMPT FROM FEDERAL INCOME TAX UNDER IRC SECTION 501(C)(3), THOUGH IT IS SUBJECT TO TAX ON INCOME UNRELATED TO ITS EXEMPT PURPOSE, UNLESS THAT INCOME IS OTHERWISE EXCLUDED BY THE CODE. THE FOUNDATION HAS PROCESSES PRESENTLY IN PLACE TO ENSURE THE MAINTENANCE OF ITS TAX-EXEMPT STATUS; TO IDENTIFY AND REPORT UNRELATED INCOME; TO DETERMINE ITS FILING AND TAX OBLIGATIONS IN JURISDICTIONS FOR WHICH IT HAS NEXUS; AND TO IDENTIFY AND EVALUATE OTHER MATTERS THAT MAY BE CONSIDERED TAX POSITIONS. THE FOUNDATION HAS DETERMINED THAT THERE ARE NO MATERIAL UNCERTAIN TAX POSITIONS THAT REQUIRE RECOGNITION OR DISCLOSURE IN THE FINANCIAL STATEMENTS. |
| PART XI, LINE 4B - OTHER ADJUSTMENTS:  | COGS EXPENSES RELCASSED TO REVENUE -7,132.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| PART XII, LINE 2D - OTHER ADJUSTMENTS: | COGS EXPENSES RECLASSED TO REVENUE 7,132.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |

## Additional Data

[Return to Form](#)

**Software ID:**

**Software Version:**

SCHEDULE F  
(Form 990)

Department of the Treasury  
Internal Revenue Service

Name of the organization  
STONY BROOK FOUNDATION INC

Statement of Activities Outside the United States

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

OMB No. 1545-0047

2020

Open to Public Inspection

Employer identification number  
11-6077945

Part I

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

- 1 For grantmakers. Does the organization maintain records to substantiate the amount of its grants and other assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ☒ Yes ☐ No
- 2 For grantmakers. Describe in Part V the organization's procedures for monitoring the use of its grants and other assistance outside the United States.

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

| (a) Region                                           | (b) Number of offices in the region | (c) Number of employees, agents, and independent contractors in the region | (d) Activities conducted in region (by type) (such as, fundraising, program services, investments, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service(s) in the region | (f) Total expenditures for and investments in the region |
|------------------------------------------------------|-------------------------------------|----------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| (1) SUB-SAHARAN AFRICA                               | 0                                   | 0                                                                          | GRANTMAKING                                                                                                                                    |                                                                                                        | 2,232,418                                                |
| (2) EUROPE (INCLUDING ICELAND AND GREENLAND)         | 0                                   | 0                                                                          | PROGRAM SERVICES                                                                                                                               | EDUCATION & TRAINING                                                                                   | 7,508                                                    |
| (3) SOUTH AMERICA                                    | 0                                   | 0                                                                          | PROGRAM SERVICES                                                                                                                               | EDUCATION & TRAINING                                                                                   | 8,621                                                    |
| (4) SUB-SAHARAN AFRICA                               | 0                                   | 0                                                                          | PROGRAM SERVICES                                                                                                                               | EDUCATION & TRAINING                                                                                   | 14,415                                                   |
| (5) SUB-SAHARAN AFRICA                               | 0                                   | 0                                                                          | PROGRAM SERVICES                                                                                                                               | RESEARCH                                                                                               | 87,972                                                   |
| (6) CENTRAL AMERICA AND THE CARIBBEAN                | 0                                   | 0                                                                          | INVESTMENTS                                                                                                                                    |                                                                                                        | 231,536,144                                              |
| (7) NORTH AMERICA                                    | 0                                   | 0                                                                          | INVESTMENTS                                                                                                                                    |                                                                                                        | 3,007,367                                                |
| (8) SUB-SAHARAN AFRICA                               | 0                                   | 0                                                                          | INVESTMENTS                                                                                                                                    | PROGRAM RELATED LOAN                                                                                   | 2,886,088                                                |
| (9)                                                  |                                     |                                                                            |                                                                                                                                                |                                                                                                        |                                                          |
| (10)                                                 |                                     |                                                                            |                                                                                                                                                |                                                                                                        |                                                          |
| (11)                                                 |                                     |                                                                            |                                                                                                                                                |                                                                                                        |                                                          |
| (12)                                                 |                                     |                                                                            |                                                                                                                                                |                                                                                                        |                                                          |
| (13)                                                 |                                     |                                                                            |                                                                                                                                                |                                                                                                        |                                                          |
| (14)                                                 |                                     |                                                                            |                                                                                                                                                |                                                                                                        |                                                          |
| (15)                                                 |                                     |                                                                            |                                                                                                                                                |                                                                                                        |                                                          |
| (16)                                                 |                                     |                                                                            |                                                                                                                                                |                                                                                                        |                                                          |
| (17)                                                 |                                     |                                                                            |                                                                                                                                                |                                                                                                        |                                                          |
| 3a Sub-total . . . . .                               | 0                                   | 0                                                                          |                                                                                                                                                |                                                                                                        | 239,780,533                                              |
| b Total from continuation sheets to Part I . . . . . | 0                                   | 0                                                                          |                                                                                                                                                |                                                                                                        | 0                                                        |
| c Totals (add lines 3a and 3b)                       | 0                                   | 0                                                                          |                                                                                                                                                |                                                                                                        | 239,780,533                                              |

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

| <b>1</b> | <b>(a)</b> Name of organization | <b>(b)</b> IRS code section and EIN (if applicable) | <b>(c)</b> Region  | <b>(d)</b> Purpose of grant  | <b>(e)</b> Amount of cash grant | <b>(f)</b> Manner of cash disbursement | <b>(g)</b> Amount of noncash assistance | <b>(h)</b> Description of noncash assistance | <b>(i)</b> Method of valuation (book, FMV, appraisal, other) |
|----------|---------------------------------|-----------------------------------------------------|--------------------|------------------------------|---------------------------------|----------------------------------------|-----------------------------------------|----------------------------------------------|--------------------------------------------------------------|
| (1)      |                                 |                                                     | SUB-SAHARAN AFRICA | OPERATIONS                   | 7,898                           | CHECK                                  |                                         |                                              |                                                              |
| (2)      |                                 |                                                     | SUB-SAHARAN AFRICA | GENERAL SUPPORT              | 348,037                         | CHECK                                  |                                         |                                              |                                                              |
| (3)      |                                 |                                                     | SUB-SAHARAN AFRICA | OPERATIONS                   | 28,770                          | WIRE                                   |                                         |                                              |                                                              |
| (4)      |                                 |                                                     | SUB-SAHARAN AFRICA | OPERATIONS                   | 6,785                           | CHECK                                  |                                         |                                              |                                                              |
| (5)      |                                 |                                                     | SUB-SAHARAN AFRICA | OPERATIONS                   | 6,515                           | CHECK                                  |                                         |                                              |                                                              |
| (6)      |                                 |                                                     | SUB-SAHARAN AFRICA | OPERATIONS                   | 10,925                          | CHECK                                  |                                         |                                              |                                                              |
| (7)      |                                 |                                                     | SUB-SAHARAN AFRICA | GENERAL SUPPORT              | 48,072                          | WIRE                                   |                                         |                                              |                                                              |
| (8)      |                                 |                                                     | SUB-SAHARAN AFRICA | GENERAL SUPPORT              | 8,177                           | WIRE                                   |                                         |                                              |                                                              |
| (9)      |                                 |                                                     | SUB-SAHARAN AFRICA | GENERAL SUPPORT & OPERATIONS | 104,166                         | WIRE                                   |                                         |                                              |                                                              |
| (10)     |                                 |                                                     | SUB-SAHARAN AFRICA | OPERATIONS                   | 1,700,236                       | WIRE                                   |                                         |                                              |                                                              |
| (11)     |                                 |                                                     |                    |                              |                                 |                                        |                                         |                                              |                                                              |
| (12)     |                                 |                                                     |                    |                              |                                 |                                        |                                         |                                              |                                                              |
| (13)     |                                 |                                                     |                    |                              |                                 |                                        |                                         |                                              |                                                              |
| (14)     |                                 |                                                     |                    |                              |                                 |                                        |                                         |                                              |                                                              |
| (15)     |                                 |                                                     |                    |                              |                                 |                                        |                                         |                                              |                                                              |
| (16)     |                                 |                                                     |                    |                              |                                 |                                        |                                         |                                              |                                                              |

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

5

3 Enter total number of other organizations or entities

5

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

Part III can be duplicated if additional space is needed.

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

**Part IV Foreign Forms**

- 1

Was the organization a U.S. transferor of property to a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 926, Return by a U.S. Transferor of Property to a Foreign Corporation (see Instructions for Form 926)* . . . . .

☒ Yes

☐ No
- 2

Did the organization have an interest in a foreign trust during the tax year? *If "Yes," the organization may be required to separately file Form 3520, Annual Return to Report Transactions with Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U.S. Owner (see Instructions for Forms 3520 and 3520-A; don't file with Form 990)* . . . . .

☐ Yes

☒ No
- 3

Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons with Respect to Certain Foreign Corporations. (see Instructions for Form 5471)* . . . . .

☒ Yes

☐ No
- 4

Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Information Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund. (see Instructions for Form 8621)* . . . . .

☒ Yes

☐ No
- 5

Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons with Respect to Certain Foreign Partnerships (see Instructions for Form 8865)* . . . . .

☒ Yes

☐ No
- 6

Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to separately file Form 5713, International Boycott Report (see Instructions for Form 5713; don't file with Form 990).* . . . . .

☐ Yes

☒ No

## Supplemental Information

Provide the information required by Part I, line 2 (monitoring of funds); Part I, line 3, column (f) (accounting method; amounts of investments vs. expenditures per region); Part II, line 1 (accounting method); Part III (accounting method); and Part III, column (c) (estimated number of recipients), as applicable. Also complete this part to provide any additional information. See instructions.

[illegible]

# Additional Data

**Software ID:**

**Software Version:**

Schedule I  
(Form 990)

Department of the  
Treasury  
Internal Revenue Service

Grants and Other Assistance to Organizations,  
Governments and Individuals in the United States

Complete if the organization answered "Yes," on Form 990, Part IV, line 21 or 22.  
▶ Attach to Form 990.  
▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.

OMB No. 1545-0047

2020

Open to Public  
Inspection

Name of the organization  
STONY BROOK FOUNDATION INC

Employer identification number  
11-6077945

Part I General Information on Grants and Assistance

- 1

Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? . . . . .

☒ Yes ☐ No
- 2

Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

Part II Grants and Other Assistance to Domestic Organizations and Domestic Governments. Complete if the organization answered "Yes" on Form 990, Part IV, line 21, for any recipient that received more than \$5,000. Part II can be duplicated if additional space is needed.

| (a) Name and address of organization or government                                                                                          | (b) EIN    | (c) IRC section (if applicable) | (d) Amount of cash grant | (e) Amount of non-cash assistance | (f) Method of valuation (book, FMV, appraisal, other) | (g) Description of noncash assistance | (h) Purpose of grant or assistance    |
|---------------------------------------------------------------------------------------------------------------------------------------------|------------|---------------------------------|--------------------------|-----------------------------------|-------------------------------------------------------|---------------------------------------|---------------------------------------|
| (1) RESEARCH FOUNDATION - STONY BROOK UNIVERSITY<br>S5422 FRANK MELVILLE JR MEMORIAL LIBRARY STONY BROOK UNIVERSITY<br>STONY BROOK,NY 11794 | 14-1368361 | 501(C)(3)                       | 3,018,632                |                                   |                                                       |                                       | RESEARCH AWARDS & EDUCATIONAL SUPPORT |
| (2) STONY BROOK UNIVERSITY OFFICE<br>261 ADMINISTRATION BLDG STONY BROOK UNIVERSITY<br>STONY BROOK,NY 11794                                 | 14-6013200 | 115                             | 13,149,857               | 635,234                           | BOOK                                                  | EQUIPMENT                             | EDUCATIONAL SUPPORT                   |
| (3) ALUMNI ASSOC OF THE ST UNIV OF NY AT STONY BROOK<br>1315 FM JR MEM LIBR STONY BROOK,NY 11794                                            | 51-0160098 | 501(C)(3)                       | 25,000                   |                                   |                                                       |                                       | OPERATION SUPPORT                     |
| (4) FACULTY STUDENT ASSOCIATION<br>W SIDE DINNING FL 2 STONY BROOK,NY 11794                                                                 | 11-1986378 | 501(C)(3)                       | 19,378                   |                                   |                                                       |                                       | EDUCATIONAL SUPPORT                   |
| (5) STONY BROOK UNIVERSITY HOSPITAL<br>STONY BROOK MEDICINE 101 NICOLLS RD STONY BROOK,NY 11794                                             | 11-3243405 | 115                             | 3,976,732                |                                   |                                                       |                                       | OPERATION SUPPORT                     |
| (6) BALDWIN UFSD<br>960 HASTINGS STREET BALDWIN,NY 11510                                                                                    | 11-6002025 | 115                             | 30,575                   |                                   |                                                       |                                       | EDUCATIONAL SUPPORT                   |
| (7) CITY OF NEW YORK<br>52 CHAMBERS STREET NEW YORK,NY 10007                                                                                | 13-6400434 | 115                             | 16,252                   |                                   |                                                       |                                       | EDUCATIONAL SUPPORT                   |
| (8) ELWOOD UFSD<br>100 KENNETH AVENUE GREENLAWN,NY 11740                                                                                    | 11-6000525 | 115                             | 5,742                    |                                   |                                                       |                                       | EDUCATIONAL SUPPORT                   |

2

Enter total number of section 501(c)(3) and government organizations listed in the line 1 table . . . . . ▶

8

3

Enter total number of other organizations listed in the line 1 table . . . . . ▶

0

**Part III** **Grants and Other Assistance to Domestic Individuals.** Complete if the organization answered "Yes" on Form 990, Part IV, line 22.

Part III can be duplicated if additional space is needed.

| (a) Type of grant or assistance                    |  | (b) Number of recipients |  | (c) Amount of cash grant |  | (d) Amount of noncash assistance |  | (e) Method of valuation (book, FMV, appraisal, other) | (f) Description of noncash assistance |
|----------------------------------------------------|--|--------------------------|--|--------------------------|--|----------------------------------|--|-------------------------------------------------------|---------------------------------------|
| (1) ACADEMIC STIPENDS AND GRAD STUDENT FELLOWSHIPS |  | 163                      |  | 745,531                  |  |                                  |  |                                                       |                                       |
| (2) ACADEMIC PRIZES AND AWARDS                     |  | 484                      |  | 375,522                  |  | 12,610                           |  | BOOK                                                  | VARIOUS SCHOOL EQUIPMENT              |
| (3) STUDENT AID                                    |  | 191                      |  | 153,382                  |  | 3,702                            |  | BOOK                                                  | VARIOUS SCHOOL EQUIPMENT              |
| (4) SCHOLARSHIPS                                   |  | 3674                     |  | 8,187,702                |  |                                  |  |                                                       |                                       |
| (4)                                                |  |                          |  |                          |  |                                  |  |                                                       |                                       |
| (5)                                                |  |                          |  |                          |  |                                  |  |                                                       |                                       |
| (6)                                                |  |                          |  |                          |  |                                  |  |                                                       |                                       |
| (7)                                                |  |                          |  |                          |  |                                  |  |                                                       |                                       |

**Part IV** **Supplemental Information.** Provide the information required in Part I, line 2; Part III, column (b); and any other additional information.

| Return Reference | Explanation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| PART I, LINE 2:  | ORGANIZATION'S PROCEDURES FOR MONITORING THE USE OF GRANTS IN U.S. WHEN THE FOUNDATION ISSUES GRANTS FROM FUNDS WITH A PURPOSE RESTRICTION, THE DESIGNATED ACCOUNT MANAGER SUBMITS A REQUISITION FOR THE GRANT, TOGETHER WITH SUPPORTING DOCUMENTATION, TO THE FOUNDATION'S PROCUREMENT DEPARTMENT. A DETAILED JUSTIFICATION FOR THE GRANT IS REQUIRED, INCLUDING THE PURPOSE OF THE GRANT. THE GRANT REQUEST IS REVIEWED, INCLUDING FOR COMPLIANCE WITH THE TERMS OF INSTRUMENT DESIGNATING THE FUNDS FOR A PARTICULAR PURPOSE, AND APPROVED. WHEN THE FOUNDATION ISSUES A GRANT FOR MORE THAN \$5,000, REVIEW, APPROVAL AND MANUAL CHECK SIGNATURE BY THE FOUNDATION'S BUSINESS OFFICE IS REQUIRED. WHEN THE FOUNDATION ISSUES A GRANT FROM UNRESTRICTED FUNDS, A GRANTEE SUBMITS A REQUEST, TOGETHER WITH SUPPORTING DOCUMENTATION. A DETAILED JUSTIFICATION FOR THE GRANT OR DIRECT PAYMENT, AS APPLICABLE, IS REQUIRED INCLUDING THE PURPOSE OF THE GRANT OR DIRECT PAYMENT, AS APPLICABLE. THE BUDGET COMMITTEE, TOGETHER WITH THE FOUNDATION'S EXECUTIVE DIRECTOR, REVIEWS AND APPROVES REQUESTS FROM THE FOUNDATION'S UNRESTRICTED FUNDS. DEPENDING ON THE TYPE OF GRANT AND THE GRANT RECIPIENT, AT THE END OF THE GRANT TERM, A FINAL REPORT REGARDING THE USE OF THE GRANT FUNDS IS SUBMITTED BY THE GRANTEE TO THE FOUNDATION. IN LIEU OF MAKING GRANT PAYMENTS, THE FOUNDATION MAY PAY EXPENSES DIRECTLY ON BEHALF OF A GRANTEE. FOR THE ACADEMIC PRIZES AND AWARDS, THE FUNDS ARE DISTRIBUTED INCREMENTALLY, AND THE INCREMENTS SHALL BE BASED ON BUSINESS PLAN MILESTONES AND/OR OTHER BENCHMARKS IDENTIFIED BY THE COMMITTEE. |

**Additional Data**

**Return to Form**

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

Name of the organization  
STONY BROOK FOUNDATION INC

Employer identification number  
11-6077945

Part I Questions Regarding Compensation

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                |                |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|----------------|
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Yes            | No             |
| 1a Check the appropriate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.<br><div><div><input type="checkbox"/> First-class or charter travel</div><div><input checked="" type="checkbox"/> Housing allowance or residence for personal use</div><div><input type="checkbox"/> Travel for companions</div><div><input type="checkbox"/> Payments for business use of personal residence</div><div><input checked="" type="checkbox"/> Tax idemnification and gross-up payments</div><div><input type="checkbox"/> Health or social club dues or initiation fees</div><div><input type="checkbox"/> Discretionary spending account</div><div><input type="checkbox"/> Personal services (e.g., maid, chauffeur, chef)</div></div> |                |                |
| b If any of the boxes on Line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain . . . . .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                | No             |
| 2 Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, officers, including the CEO/Executive Director, regarding the items checked on Line 1a? . . . . .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | 2              | No             |
| 3 Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.<br><div><div><input type="checkbox"/> Compensation committee</div><div><input type="checkbox"/> Written employment contract</div><div><input type="checkbox"/> Independent compensation consultant</div><div><input type="checkbox"/> Compensation survey or study</div><div><input type="checkbox"/> Form 990 of other organizations</div><div><input type="checkbox"/> Approval by the board or compensation committee</div></div>                                                                                                                          |                |                |
| 4 During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:<br><br>a Receive a severance payment or change-of-control payment? . . . . .<br>b Participate in, or receive payment from, a supplemental nonqualified retirement plan?<br>c Participate in, or receive payment from, an equity-based compensation arrangement?<br>If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.<br><br>Only 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.                                                                                                                                                                                                                                                             | 4a<br>4b<br>4c | No<br>No<br>No |
| 5 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:<br><br>a The organization? . . . . .<br>b Any related organization? . . . . .<br>If "Yes," on line 5a or 5b, describe in Part III.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | 5a<br>5b       | No<br>No       |
| 6 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:<br><br>a The organization? . . . . .<br>b Any related organization? . . . . .<br>If "Yes," on line 6a or 6b, describe in Part III.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | 6a<br>6b       | No<br>No       |
| 7 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described in lines 5 and 6? If "Yes," describe in Part III . . . . .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 7              | No             |
| 8 Were any amounts reported on Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III . . . . .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | 8              | No             |
| 9 If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)? . . . . .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | 9              |                |

Part II

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

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

**Note.** The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

| (A) Name and Title                                |      | (B) Breakdown of W-2 and/or 1099-MISC compensation |                                     |                                     | (C) Retirement and other deferred compensation | (D) Nontaxable benefits | (E) Total of columns (B)(i)-(D) | (F) Compensation in column (B) reported as deferred on prior Form 990 |
|---------------------------------------------------|------|----------------------------------------------------|-------------------------------------|-------------------------------------|------------------------------------------------|-------------------------|---------------------------------|-----------------------------------------------------------------------|
|                                                   |      | (i) Base compensation                              | (ii) Bonus & incentive compensation | (iii) Other reportable compensation |                                                |                         |                                 |                                                                       |
| 1MR DAVID MARCUS<br>CIO                           | (i)  | 400,000                                            | 0                                   | 0                                   | 0                                              | 116,108                 | 516,108                         | 0                                                                     |
|                                                   | (ii) |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
| 2DEBORAH LOWEN-KLEIN<br>INTERIM VP, ADVANCEMENT   | (i)  | 331,000                                            | 0                                   | 0                                   | 0                                              | 137,454                 | 468,454                         | 0                                                                     |
|                                                   | (ii) |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
| 3MR JASON W HSUEH<br>CFO & COO                    | (i)  | 279,278                                            | 0                                   | 0                                   | 0                                              | 115,976                 | 395,254                         | 0                                                                     |
|                                                   | (ii) |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
| 4DANIELLE HOLTON<br>ED DEVELOPMENT, SBCH          | (i)  | 237,989                                            | 0                                   | 0                                   | 0                                              | 98,773                  | 336,762                         | 0                                                                     |
|                                                   | (ii) |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
| 5JO-ANN DANIELS<br>DIRECTOR, FINANCE & OPERATIONS | (i)  | 212,462                                            | 0                                   | 0                                   | 0                                              | 88,181                  | 300,643                         | 0                                                                     |
|                                                   | (ii) |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
| 6TARA STENZEL-FLEMING<br>ED CORPORATE AND FR      | (i)  | 190,000                                            | 0                                   | 0                                   | 0                                              | 78,901                  | 268,901                         | 0                                                                     |
|                                                   | (ii) |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
| 7CAROL GOMES<br>CEO, COO OF SBUH                  | (i)  | 207,692                                            | 0                                   | 0                                   | 0                                              | 0                       | 207,692                         | 0                                                                     |
|                                                   | (ii) |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
|                                                   |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
|                                                   |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
|                                                   |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
|                                                   |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
|                                                   |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
|                                                   |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
|                                                   |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
|                                                   |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
|                                                   |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
|                                                   |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |
|                                                   |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                                       |

**Part III**   **Supplemental Information**

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

| Return Reference | Explanation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| PART I, LINE 1A  | HOUSING ALLOWANCE OR RESIDENCE FOR PERSONAL USE STONY BROOK UNIVERSITY'S DIRECTOR OF THE SIMONS CENTER FOR GEOMETRY & PHYSICS RESIDES AT A STONY BROOK FOUNDATION PROPERTY RENT & EXPENSE FREE. THE FAIR MARKET VALUE OF RESIDING AT THE PROPERTY IS INCLUDED IN TAXABLE INCOME ON HIS SBF FORM W-2. THE DIRECTOR OF THE SIMONS CENTER FOR GEOMETRY NO LONGER MEETS THE REQUIREMENT FOR DISCLOSURE ON THE FOUNDATION'S FORM 990; NEVERTHELESS, THE FOUNDATION IS RETAINING THIS DISCLOSURE IN THE INTERESTS OF TRANSPARENCY.                                                                                                                                        |
| PART I, LINE 3   | METHOD OF ESTABLISHING COMPENSATION OF THE CEO/OFFICERS STONY BROOK FOUNDATION'S OFFICERS ARE STATE UNIVERSITY EMPLOYEES, AND AS SUCH, THE STATE (AN UNRELATED GOVERNMENT ENTITY) DETERMINES APPROPRIATE COMPENSATION FOR THE OFFICERS AND REQUESTS THAT THE FOUNDATION AGREE TO BEAR A PORTION OF THE COMPENSATION. THE FOUNDATION'S BOARD RELIES ON THE STATE'S DETERMINATION OF APPROPRIATE OVERALL COMPENSATION FOR THE OFFICERS AND DETERMINES WHETHER TO APPROVE PAYMENT OF A PORTION OF THE COMPENSATION BY THE FOUNDATION. ACCORDINGLY, SINCE THE FOUNDATION DOES NOT ESTABLISH THE OFFICER'S COMPENSATION, FORM 990, SCHEDULE J, QUESTION 3 IS LEFT BLANK. |

**Additional Data**

**Return to Form**

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

Name of the organization  
STONY BROOK FOUNDATION INC

Employer identification number  
11-6077945

Part I Excess Benefit Transactions (section 501(c)(3), section 501(c)(4), and section 501(c)(29) organizations only).  
Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b.

| 1 | (a) Name of disqualified person | (b) Relationship between disqualified person and organization | (c) Description of transaction | (d) Corrected? |    |
|---|---------------------------------|---------------------------------------------------------------|--------------------------------|----------------|----|
|   |                                 |                                                               |                                | Yes            | No |
|   |                                 |                                                               |                                |                |    |
|   |                                 |                                                               |                                |                |    |
|   |                                 |                                                               |                                |                |    |
|   |                                 |                                                               |                                |                |    |
|   |                                 |                                                               |                                |                |    |
|   |                                 |                                                               |                                |                |    |

2 Enter the amount of tax incurred by the organization managers or disqualified persons during the year under section 4958. \_\_\_\_\_

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

Part II Loans to and/or From Interested Persons.  
Complete if the organization answered "Yes" on Form 990-EZ, Part V, line 38a, or Form 990, Part IV, line 26; or if the organization reported an amount on Form 990, Part X, line 5, 6, or 22

| (a) Name of interested person | (b) Relationship with organization | (c) Purpose of loan | (d) Loan to or from the organization? |      | (e) Original principal amount | (f) Balance due | (g) In default? |    | (h) Approved by board or committee? |    | (i) Written agreement? |    |
|-------------------------------|------------------------------------|---------------------|---------------------------------------|------|-------------------------------|-----------------|-----------------|----|-------------------------------------|----|------------------------|----|
|                               |                                    |                     | To                                    | From |                               |                 | Yes             | No | Yes                                 | No | Yes                    | No |
|                               |                                    |                     |                                       |      |                               |                 |                 |    |                                     |    |                        |    |
|                               |                                    |                     |                                       |      |                               |                 |                 |    |                                     |    |                        |    |
|                               |                                    |                     |                                       |      |                               |                 |                 |    |                                     |    |                        |    |
|                               |                                    |                     |                                       |      |                               |                 |                 |    |                                     |    |                        |    |
|                               |                                    |                     |                                       |      |                               |                 |                 |    |                                     |    |                        |    |
|                               |                                    |                     |                                       |      |                               |                 |                 |    |                                     |    |                        |    |
| Total . . . . . ▶ \$          |                                    |                     |                                       |      |                               |                 |                 |    |                                     |    |                        |    |

Part III Grants or Assistance Benefiting Interested Persons.  
Complete if the organization answered "Yes" on Form 990, Part IV, line 27.

| (a) Name of interested person | (b) Relationship between interested person and the organization | (c) Amount of assistance | (d) Type of assistance | (e) Purpose of assistance |
|-------------------------------|-----------------------------------------------------------------|--------------------------|------------------------|---------------------------|
|                               |                                                                 |                          |                        |                           |
|                               |                                                                 |                          |                        |                           |
|                               |                                                                 |                          |                        |                           |
|                               |                                                                 |                          |                        |                           |
|                               |                                                                 |                          |                        |                           |
|                               |                                                                 |                          |                        |                           |

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

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

| (a) Name of interested person | (b) Relationship between interested person and the organization | (c) Amount of transaction | (d) Description of transaction | (e) Sharing of organization's revenues? |    |
|-------------------------------|-----------------------------------------------------------------|---------------------------|--------------------------------|-----------------------------------------|----|
|                               |                                                                 |                           |                                | Yes                                     | No |
| (1) DR JAMES SIMONS           | BOARD MEMBER                                                    | 36,537,236                | INVESTMENTS HELD               |                                         | No |
| (2) DR JAMES SIMONS           | BOARD MEMBER                                                    | 230,006                   | INV FEES                       |                                         | No |
| (3) HENRY LAUFER              | BOARD MEMBER                                                    | 36,537,236                | INVESTMENTS HELD               |                                         | No |
| (4) HENRY LAUFER              | BOARD MEMBER                                                    | 230,006                   | INV FEES                       |                                         | No |
|                               |                                                                 |                           |                                |                                         |    |
|                               |                                                                 |                           |                                |                                         |    |

**Part V Supplemental Information**

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

| Return Reference    | Explanation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|---------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| SCHEDULE L, PART IV | BUSINESS TRANSACTIONS INVOLVING INTERESTED PERSONSTHE FOUNDATION HOLDS INVESTMENTS WITH AN INVESTMENT FIRM WHERE BOARD OF TRUSTEES MEMBERS, DR. JAMES SIMONS AND HENRY B. LAUFER HAVE AN OWNERSHIP INTEREST AND WHERE THEY BOTH SIT ON THE BOARD OF DIRECTORS. IN ADDITION, BOTH DR. SIMONS AND HENRY LAUFER ARE DESIGNATED AS SUBSTANTIAL CONTRIBUTORS TO THE FOUNDATION. THE VALUE OF THE FOUNDATION'S HOLDINGS WITH THE FIRM IS \$36,537,236; FOR THE YEAR ENDING JUNE 30, 2021, THE FOUNDATION PAID THE INVESTMENT FIRM \$230,006 IN INVESTMENT MANAGEMENT FEES. |

## Additional Data

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**Software ID:**

**Software Version:**

Part I

Types of Property

|                                                                            | (a)<br>Check if<br>applicable | (b)<br>Number of contributions<br>or items contributed | (c)<br>Noncash contribution<br>amounts reported on<br>Form 990, Part VIII, line<br>1g | (d)<br>Method of determining<br>noncash contribution amounts |
|----------------------------------------------------------------------------|-------------------------------|--------------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------------|
| 1 Art—Works of art . . . . .                                               | X                             | 88                                                     | 508,129                                                                               | APPRAISAL                                                    |
| 2 Art—Historical treasures . . . . .                                       |                               |                                                        |                                                                                       |                                                              |
| 3 Art—Fractional interests . . . . .                                       |                               |                                                        |                                                                                       |                                                              |
| 4 Books and publications . . . . .                                         |                               |                                                        |                                                                                       |                                                              |
| 5 Clothing and household<br>goods . . . . .                                |                               |                                                        |                                                                                       |                                                              |
| 6 Cars and other vehicles . . . . .                                        |                               |                                                        |                                                                                       |                                                              |
| 7 Boats and planes . . . . .                                               |                               |                                                        |                                                                                       |                                                              |
| 8 Intellectual property . . . . .                                          |                               |                                                        |                                                                                       |                                                              |
| 9 Securities—Publicly traded . . . . .                                     | X                             | 132                                                    | 5,609,838                                                                             | FMV                                                          |
| 10 Securities—Closely held stock<br>. . . . .                              |                               |                                                        |                                                                                       |                                                              |
| 11 Securities—Partnership, LLC,<br>or trust interests . . . . .            |                               |                                                        |                                                                                       |                                                              |
| 12 Securities—Miscellaneous . . . . .                                      |                               |                                                        |                                                                                       |                                                              |
| 13 Qualified conservation<br>contribution—Historic<br>structures . . . . . |                               |                                                        |                                                                                       |                                                              |
| 14 Qualified conservation<br>contribution—Other . . . . .                  |                               |                                                        |                                                                                       |                                                              |
| 15 Real estate—Residential . . . . .                                       |                               |                                                        |                                                                                       |                                                              |
| 16 Real estate—Commercial . . . . .                                        |                               |                                                        |                                                                                       |                                                              |
| 17 Real estate—Other . . . . .                                             |                               |                                                        |                                                                                       |                                                              |
| 18 Collectibles . . . . .                                                  |                               |                                                        |                                                                                       |                                                              |
| 19 Food inventory . . . . .                                                |                               |                                                        |                                                                                       |                                                              |
| 20 Drugs and medical supplies . . . . .                                    |                               |                                                        |                                                                                       |                                                              |
| 21 Taxidermy . . . . .                                                     |                               |                                                        |                                                                                       |                                                              |
| 22 Historical artifacts . . . . .                                          |                               |                                                        |                                                                                       |                                                              |
| 23 Scientific specimens . . . . .                                          |                               |                                                        |                                                                                       |                                                              |
| 24 Archeological artifacts . . . . .                                       |                               |                                                        |                                                                                       |                                                              |
| 25 Other ► ( <u>SUPPLIES</u> ) . . . . .                                   | X                             | 25                                                     | 2,916                                                                                 | FMV                                                          |
| 26 Other ► ( <u>                    </u> ) . . . . .                       |                               |                                                        |                                                                                       |                                                              |
| 27 Other ► ( <u>                    </u> ) . . . . .                       |                               |                                                        |                                                                                       |                                                              |
| 28 Other ► ( <u>                    </u> ) . . . . .                       |                               |                                                        |                                                                                       |                                                              |

29

Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement

29

3

30a

During the year, did the organization receive by contribution any property reported in Part I, lines 1 through 28, that it must hold for at least three years from the date of the initial contribution, and which isn't required to be used for exempt purposes for the entire holding period?

Yes

No

b

If "Yes," describe the arrangement in Part II.

31

Does the organization have a gift acceptance policy that requires the review of any nonstandard contributions?

31

Yes

32a

Does the organization hire or use third parties or related organizations to solicit, process, or sell noncash contributions?

32a

Yes

b

If "Yes," describe in Part II.

33

If the organization didn't report an amount in column (c) for a type of property for which column (a) is checked, describe in Part II.

**Part II** **Supplemental Information.** Provide the information required by Part I, lines 30b, 32b, and 33, and whether the organization is reporting in Part I, column (b), the number of contributions, the number of items received, or a combination of both. Also complete this part for any additional information.

| Return Reference       | Explanation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| PART I, LINE 32B:      | THIRD PARTY ASSISTANCE OF NONCASH CONTRIBUTIONS TO THE EXTENT THE FOUNDATION RECEIVES DONATIONS OF SECURITIES, IT EMPLOYS ITS OWN INVESTMENT BROKER TO LIQUIDATE THOSE SECURITIES INTO CASH FOR USE IN CARRYING OUT ITS CHARITABLE MISSION. OCCASIONALLY, THE FOUNDATION RECEIVES UNIQUE NON-CASH DONATIONS (E.G. OF BOATS, ETC); IN THOSE INSTANCES, THE FOUNDATION USES A THIRD PARTY VENDOR TO DISPOSE OF THE ASSETS. IN FISCAL 2021, THE FOUNDATION RECEIVED A CONTRIBUTION OF ARTWORK THAT IT HAS ADDED TO ITS COLLECTION OF ART IT SHARES WITH THE GENERAL PUBLIC FOR ITS APPRECIATION AND ENJOYMENT. |
| SCH M, PART I, LINE 9: | IN THE YEAR ENDING JUNE 30, 2021, THE FOUNDATION RECEIVED \$1,943,384 IN STOCK DONATIONS IN SATISFACTION OF PRIOR YEAR PLEDGE PAYMENTS.                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |

# Additional Data

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Software ID:

Software Version:

| Return Reference                                   | Explanation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|----------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| GENERAL STATEMENT REGARDING THE COVID-19 PANDEMIC: | IN MARCH 2020, THE WORLD HEALTH ORGANIZATION OFFICIALLY DECLARED COVID-19, A DISEASE CAUSED BY THE NOVEL CORONAVIRUS, A PANDEMIC. THIS CAUSED MANY LOCAL AND NATIONAL GOVERNMENTS, INCLUDING THE NEW YORK STATE, TO IMPOSE RESTRICTIONS ON BUSINESS OPERATIONS, TRAVEL AND PUBLIC GATHERINGS. THE OUTBREAK HAS ADVERSELY IMPACTED THE LEVEL OF ECONOMIC ACTIVITY AROUND THE WORLD AND DISRUPTED NORMAL BUSINESS ACTIVITY IN EVERY SECTOR OF THE ECONOMY. THE FULL IMPACT OF THE COVID-19 OUTBREAK CONTINUES TO EVOLVE AS OF THE DATE OF THIS REPORT. EXTERNAL FACTORS, INCLUDING THE DURATION AND INTENSITY OF THE PANDEMIC, THE SHAPE OF THE ECONOMIC RECOVERY AND ITS IMPACT ON POTENTIAL GOVERNMENT FUNDING, AS WELL AS TIMING AND WIDESPREAD ADOPTION OF VACCINES, COULD HAVE AN IMPACT ON THE ORGANIZATION'S FUTURE OPERATING AND PROGRAMMATIC RESULTS.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| FORM 990, PART I, LINE 15:                         | AMOUNTS REPORTED ON LINE 15 SALARIES, OTHER COMPENSATION, AND EMPLOYEE BENEFITS ARE COMPRISED OF SUPPORT FOR CAMPUS PROGRAMS, ADMINISTRATIVE OFFICES AND FUNDRAISING OFFICES. FOR FISCAL YEAR 2021, THE TOTAL SUPPORT OF \$10,642,555 INCLUDES \$4,963,912 RELATED TO CAMPUS PROGRAMS, \$3,405,516 RELATED TO ADMINISTRATIVE OFFICES AND \$2,273,127 RELATED TO FUNDRAISING OFFICES.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| FORM 990, PART III, LINE 1:                        | ORGANIZATION'S MISSION CONTINUED THE PURPOSES OF THE FOUNDATION ARE AS FOLLOWS: A. TO ASSIST IN DEVELOPING AND INCREASING THE RESOURCES OF THE STATE UNIVERSITY OF NEW YORK AT STONY BROOK ("STONY BROOK UNIVERSITY") IN ORDER TO PROVIDE MORE EXTENSIVE EDUCATIONAL OPPORTUNITIES AND SERVICES BY MAKING AND ENCOURAGING GIFTS, GRANTS, CONTRIBUTIONS AND DONATIONS OF REAL AND PERSONAL PROPERTY TO OR FOR THE BENEFIT OF STONY BROOK UNIVERSITY. B. TO RECEIVE, HOLD, ADMINISTER AND DISPOSE OF GIFTS AND GRANTS, AND TO ACT WITHOUT PROFIT AS TRUSTEE OF EDUCATIONAL OR CHARITABLE TRUSTS OF BENEFIT TO AND IN KEEPING WITH THE EDUCATIONAL PURPOSES AND OBJECTIVES OF STONY BROOK UNIVERSITY. C. TO FINANCE THE CONDUCT OF STUDIES AND RESEARCH OF ANY AND ALL FIELDS OF INTELLECTUAL INQUIRY OF BENEFIT TO AND IN KEEPING WITH THE EDUCATIONAL PURPOSES AND OBJECTIVES OF STONY BROOK UNIVERSITY AND/OR ITS CONSTITUENT SCHOOLS, AND TO ENTER INTO CONTRACTUAL RELATIONSHIPS APPROPRIATE TO THE PURPOSES OF THE FOUNDATION. D. TO GRANT AND/OR ADMINISTER SCHOLARSHIPS AND FELLOWSHIPS AND TO ENGAGE IN EXPERIMENTAL EDUCATION ACTIVITIES AND RESEARCH PROJECTS.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| FORM 990, PART VI, SECTION A, LINE 1               | DELEGATION OF AUTHORITY THE FOLLOWING COMMITTEES OF THE FOUNDATION'S BOARD OF TRUSTEES HAVE BEEN DELEGATED AUTHORITY BY THE BOARD OF TRUSTEES. THE FOUNDATION'S EXECUTIVE COMMITTEE HAS ALL THE POWER AND AUTHORITY OF THE FOUNDATION'S BOARD ("BOARD") WHEN THE BOARD IS NOT IN SESSION, EXCEPT FOR THE AUTHORITY TO FILL VACANCIES ON THE BOARD OR ANY BOARD COMMITTEE, FIX, IF ANY, COMPENSATION FOR BOARD TRUSTEES (NONE IS PRESENTLY PAID) INCLUDING ANY BOARD COMMITTEES, TO AMEND, REPEAL OR ADOPT NEW FOUNDATION BYLAWS, TO ELECT OR REMOVE ANY OFFICER OR TRUSTEE, TO APPROVE ANY PLAN OF MERGER OR DISSOLUTION, TO AUTHORIZE THE SALE, LEASE, EXCHANGE OR OTHER DISPOSITION OF ALL OR SUBSTANTIALLY ALL OF THE ASSETS OF THE FOUNDATION OR TO APPROVE AMENDMENTS TO THE FOUNDATION'S CERTIFICATE OF INCORPORATION. THE EXECUTIVE COMMITTEE WILL ALSO CARRY OUT ANY OTHER RESPONSIBILITIES AND DUTIES DELEGATED TO IT FROM THE BOARD FROM TIME TO TIME. THE EXECUTIVE COMMITTEE IS OBLIGATED TO REPORT ITS ACTIVITIES AND DECISIONS AT THE NEXT REGULARLY-SCHEDULED MEETING OF THE FULL BOARD. THE FOUNDATION'S AUDIT COMMITTEE IS RESPONSIBLE FOR OVERSEEING THE FOUNDATION'S ACCOUNTING AND FINANCIAL REPORTING PROCESSES, ADMINISTERING THE FOUNDATION'S CONFLICT OF INTEREST AND WHISTLEBLOWER POLICIES, AND PROCUREMENT OR TERMINATION AND OVERSEEING THE FOUNDATION'S TRUSTEES AND OFFICERS' INSURANCE COVERAGE. THE AUDIT COMMITTEE IS OBLIGATED TO REPORT ITS ACTIVITIES AND DECISIONS AT THE NEXT REGULARLY-SCHEDULED MEETING OF THE FULL BOARD. THE FOUNDATION'S BUDGET COMMITTEE IS RESPONSIBLE FOR THE GENERAL SUPERVISION OF THE FOUNDATION'S FINANCIAL AFFAIRS AND ANNUAL BUDGET AND WILL ALSO CARRY OUT ANY OTHER RESPONSIBILITIES AND DUTIES DELEGATED TO IT BY THE BOARD FROM TIME TO TIME. THE BUDGET COMMITTEE IS OBLIGATED TO REPORT ITS ACTIVITIES AND DECISIONS AT THE NEXT REGULARLY-SCHEDULED MEETING OF THE FULL BOARD. THE FOUNDATION'S INVESTMENT COMMITTEE IS RESPONSIBLE FOR THE SUPERVISION OF THE FOUNDATION'S INVESTMENTS AND ANY INDIVIDUALS OR ENTITIES TO WHICH INVESTMENT MANAGEMENT RESPONSIBILITY IS DELEGATED, THE REVIEW OF COMPENSATION OF FOUNDATION INVESTMENT MANAGERS WHO ARE ALSO TRUSTEES OR OFFICERS OF THE FOUNDATION AND WILL ALSO CARRY OUT ANY OTHER RESPONSIBILITIES AND DUTIES DELEGATED TO IT BY THE BOARD FROM TIME TO TIME. THE INVESTMENT COMMITTEE IS OBLIGATED TO REPORT ITS ACTIVITIES AND DECISIONS AT THE NEXT REGULARLY-SCHEDULED MEETING OF THE FULL BOARD. THE FOUNDATION'S NOMINATING COMMITTEE PROVIDES ASSISTANCE TO THE BOARD AS REQUESTED FROM TIME TO TIME, INCLUDING BY ESTABLISHING CRITERIA FOR THE SELECTION OF NEW TRUSTEES AND IDENTIFYING INDIVIDUALS QUALIFIED TO BECOME TRUSTEES, AND WILL ALSO CARRY OUT ANY OTHER RESPONSIBILITIES AND DUTIES DELEGATED TO IT BY THE BOARD FROM TIME TO TIME. THE NOMINATING COMMITTEE IS OBLIGATED TO REPORT ITS ACTIVITIES AND DECISIONS AT THE NEXT REGULARLY-SCHEDULED MEETING OF THE FULL BOARD. |
| FORM 990, PART VI, SECTION A, LINE 2               | FAMILY OR BUSINESS RELATIONSHIPS DR. CHHABRA AND DR. SIMONS HAVE A BUSINESS RELATIONSHIP. DR. LAUFER AND DR. SIMONS HAVE A BUSINESS RELATIONSHIP. DR. LOURIE AND DR. SIMONS SHARE A BUSINESS RELATIONSHIP. DR. COLLER AND DR. SIMONS SHARE A BUSINESS RELATIONSHIP. MR. ACKER AND DR. SIMONS HAVE A BUSINESS RELATIONSHIP. DR. LANDEAU AND DR. SIMONS HAVE A BUSINESS RELATIONSHIP.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| FORM 990, PART VI, SECTION A, LINE 8B              | CONTEMPORANEOUS DOCUMENTATION THE FOUNDATION ADOPTED POLICIES PURSUANT TO WHICH THE BOARD AND ALL COMMITTEES OF THE BOARD (EXCEPT THE EXECUTIVE COMMITTEE) WILL CONTEMPORANEOUSLY DOCUMENT IN MINUTES THE MEETINGS HELD (OTHER THAN IN EXECUTIVE SESSION) AND WRITTEN ACTIONS UNDERTAKEN.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| FORM 990,                                          | ORGANIZATION'S PROCESS USED TO REVIEW FORM 990 THE FORM 990 WAS PREPARED BY AN INDEPENDENT ACCOUNTING                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |

| Return Reference                          | Explanation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|-------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| PART VI, SECTION B, LINE 11B              | FIRM IN CONJUNCTION WITH THE ORGANIZATION'S FINANCIAL DEPARTMENT. THE FORM 990 IS THEN FORWARDED TO THE EXECUTIVE COMMITTEE FOR REVIEW, COMMENT AND FINAL APPROVAL. THE FINAL VERSION IS CIRCULATED TO THE BOARD OF TRUSTEES.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| FORM 990, PART VI, SECTION B, LINE 12C    | ENFORCEMENT OF CONFLICT OF INTEREST POLICY PURSUANT TO THE FOUNDATION'S BYLAWS (ARTICLE IV, SECTION 11), ALL TRUSTEES, OFFICERS AND KEY PERSONS ARE REQUIRED TO COMPLETE AN ANNUAL CONFLICT OF INTEREST CERTIFICATION. THE ANNUAL CERTIFICATION REQUIRES EACH TRUSTEE, OFFICER AND KEY EMPLOYEE OF THE FOUNDATION TO DISCLOSE IN WRITING THE EXISTENCE OF ANY POTENTIAL CONFLICTS OF INTEREST, TO CERTIFY COMPLIANCE WITH THE CONFLICT OF INTEREST POLICY AND TO AGREE TO ABIDE BY IT. THE SIGNED CERTIFICATIONS ARE REVIEWED BY THE CHAIR OF THE AUDIT COMMITTEE. IF AN INDIVIDUAL BECOMES AWARE THAT HE OR SHE MAY BE INVOLVED IN A POTENTIALLY CONFLICTED TRANSACTION, HE OR SHE WILL IMMEDIATELY DISCLOSE THE EXISTENCE AND MATERIAL FACTS OF HIS OR HER INTEREST IN THE CONFLICTED TRANSACTION TO THE EXECUTIVE DIRECTOR OF THE FOUNDATION, WHO WILL REPORT THE MATTER TO THE CHAIR OF THE AUDIT COMMITTEE. BOARD DISCUSSIONS PERTAINING TO THE CONFLICT (AND ITS RESOLUTION) ARE DOCUMENTED IN THE BOARD MINUTES.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| FORM 990, PART VI, SECTION B, LINE 15     | LINE 15A: PROCESS FOR DETERMINING COMPENSATION THE COMPENSATION PAID TO THE FOUNDATION'S EXECUTIVE DIRECTOR IS DETERMINED BY AN UNRELATED THIRD PARTY: THE STATE OF NEW YORK. THE STATE HAS ESTABLISHED COMPENSATION GUIDELINES WHEREBY COMPENSATION IS CAPPED AT A SPECIFIC LEVEL. THE FOUNDATION HAS NO DISCRETION TO MODIFY THE COMPENSATION THRESHOLDS ESTABLISHED BY THE STATE; HOWEVER, THE FOUNDATION MAY APPROVE A REQUEST FROM THE UNIVERSITY TO PROVIDE ADDITIONAL COMPENSATION IN AN EFFORT TO ATTRACT TALENT AND PAY THESE INDIVIDUALS AT A MARKET RATE RENDERING SERVICES TO THE FOUNDATION. SUCH ADDITIONAL COMPENSATION IS THEN APPROVED BY THE FOUNDATION BOARD. THE COMPENSATION IS MEMORIALIZED IN AN EMPLOYMENT CONTRACT NOTING THAT A PORTION OF SALARY WILL COME FROM STONY BROOK FOUNDATION AND ANOTHER PORTION FROM THE UNIVERSITY, CAUSING CERTAIN EMPLOYEES TO RECEIVE TWO W-2'S. LINE 15B: PROCESS FOR DETERMINING COMPENSATION THE COMPENSATION PAID TO THE FOUNDATION'S OTHER OFFICERS (COO, CFO AND CIO) IS RECOMMENDED BY THE FOUNDATION'S EXECUTIVE DIRECTOR, AND IS REVIEWED BY AN UNRELATED THIRD PARTY TAX-EXEMPT ORGANIZATION TO DETERMINE IF COMPENSATION IS APPROPRIATE AND WITHIN THE GUIDELINES OF INDUSTRY STANDARDS. THE APPROVED COMPENSATION IS THEN MEMORIALIZED IN AN EMPLOYMENT CONTRACT.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| FORM 990, PART VI, SECTION C, LINE 19     | AVAILABILITY OF DOCUMENTS TO THE PUBLIC STONY BROOK FOUNDATION, INC. MAKES ITS FORM 990 AVAILABLE TO THE PUBLIC ON THE ORGANIZATION'S WEBSITE. THE FORM 990 IS LIKEWISE PUBLISHED ON THE INTERNET AT WWW.GUIDESTAR.ORG. THE ORGANIZATION'S FINANCIAL STATEMENTS ARE MADE AVAILABLE ON THE ORGANIZATION'S WEBSITE. THE ORGANIZATION'S GOVERNING DOCUMENTS AND CONFLICT OF INTEREST POLICY ARE NOT ORDINARILY AVAILABLE TO THE PUBLIC, BUT, IF REQUESTED, WILL BE PROVIDED AT MANAGEMENT'S DISCRETION.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| FORM 990, PART VII:                       | COMPENSATION IN THE INTEREST OF CLARITY, THE FOUNDATION IS PROVIDING CONTEXT ON THE COMPENSATION REPORTED IN BOTH PART VII AND SCHEDULE J OF THE FORM 990. DR. MAURIE MCINNIS, EX-EFFICIO TRUSTEE, IS A NY STATE UNIVERSITY EMPLOYEE. IN 2009, THE STONY BROOK FOUNDATION WAS ASKED BY THE SUNY CHANCELLOR AND SUNY BOARD OF TRUSTEES TO SUPPLEMENT THE PRESIDENT'S COMPENSATION. CONSISTENT WITH ITS MISSION TO HELP ADVANCE THE MISSION OF THE UNIVERSITY, THE STONY BROOK FOUNDATION BOARD APPROVED THIS EXPENSE AND CONTINUES TO PROVIDE ANNUAL SALARY SUPPORT. THIS COMPENSATION ARRANGEMENT IS REPORTED IN THE INDIVIDUAL'S ANNUAL CONFLICT OF INTEREST DISCLOSURE THAT IS SHARED WITH THE FOUNDATION'S BOARD OF DIRECTORS TO ENSURE ABSOLUTE TRANSPARENCY. DR. MCINNIS'S COMPENSATION, AS REPORTED ON THE FORM 990, PART VII, REPRESENTS THE AMOUNT PAID BY THE FOUNDATION; TO THE EXTENT DR. MCINNIS IS COMPENSATED BY SUNY, IT IS NOT DISCLOSED ON THIS FORM 990 AS SUNY IS NOT A RELATED PARTY AND THE SERVICES FOR WHICH SHE WAS COMPENSATED WERE NOT RENDERED TO THE FOUNDATION. FINALLY, IT SHOULD BE NOTED THAT DR. MCINNIS IS DIRECTLY INVOLVED IN FUNDRAISING ON THE FOUNDATION'S BEHALF, HOWEVER, THE COMPENSATION REPORTED ON THE FORM 990 IS NOT SPECIFICALLY TIED TO THOSE FUNDRAISING EFFORTS. CFO & COO, JASON HSUEH, AND CIO, DAVID MARCUS SPEND 100% OF THEIR TIME ENGAGED IN ACTIVITIES THAT SUPPORT THE FOUNDATION; HOWEVER, THEIR COMPENSATION IS PAID BY AN UNRELATED THIRD PARTY TAX-EXEMPT ORGANIZATION AND NOT DIRECTLY BY THE FOUNDATION. COMPENSATION PAID BY AN UNRELATED ORGANIZATION FOR SERVICES RENDERED TO THE FOUNDATION IS REQUIRED TO BE DISCLOSED IN PART VII, COLUMN (D) AS THOUGH IT HAD BEEN PAID BY THE FOUNDATION. HIGHLY COMPENSATED EMPLOYEES, JO-ANN DANIELS, DEBORAH LOWEN-KLEIN, TARA STENZEL-FLEMING, AND DANIELLE HOLTON, LIKEWISE, RECEIVE THEIR COMPENSATION FROM AN UNRELATED THIRD PARTY TAX-EXEMPT ORGANIZATION. THERE IS A SALARY CAP FOR STATE UNIVERSITY EMPLOYEE: MS. GOMES. IN RESPONSE TO THE UNIVERSITY'S OCCASIONAL REQUEST, THE STONY BROOK FOUNDATION'S BOARD DOES REVIEW AND APPROVE FUNDS FOR ADDITIONAL COMPENSATION TO THE UNIVERSITY EMPLOYEES SO THAT THE UNIVERSITY CAN RECRUIT THE BEST PEOPLE FOR THE JOB. INDIVIDUAL EMPLOYEES' CONTRACTS OUTLINE THE PORTION OF THEIR SALARY THAT WILL COME FROM STONY BROOK FOUNDATION AND ANOTHER PORTION FROM THE UNIVERSITY, CAUSING CERTAIN EMPLOYEES TO RECEIVE TWO W-2'S. BENEFITS ARE PROVIDED BY THE STATE UNIVERSITY OF STONY BROOK. |
| GENERAL STATEMENT REGARDING THE PPP LOAN: | THE FOUNDATION RECEIVED A PAYCHECK PROTECTION PROGRAM ("PPP") LOAN OF \$1,424,046 WHICH WAS EXCLUSIVELY USED TO HELP THE FOUNDATION SUBSIDIZE ITS PAYROLL. THE PPP LOAN ENABLED THE FOUNDATION TO RETAIN EMPLOYEES AND CONTINUE ITS MISSION TO SUPPORT STONY BROOK UNIVERSITY AND ITS STUDENTS, ENSURING ACCESS TO A WORLD-CLASS PUBLIC UNIVERSITY EDUCATION FOR STUDENTS FROM FAMILIES WITH LIMITED MEANS. THE FOUNDATION RECEIVED FULL FORGIVENESS OF ITS PPP LOAN BY THE SMALL BUSINESS ADMINISTRATION; THE PPP LOAN IS RECORDED AS GOVERNMENTAL GRANT REVENUE IN PART VIII, LINE 1(E).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

## Additional Data

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SCHEDULE R
(Form 990)

Department of the Treasury
Internal Revenue Service
Name of the organization
STONY BROOK FOUNDATION INC

Related Organizations and Unrelated Partnerships

Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.
Attach to Form 990.
Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047
2020
Open to Public Inspection

Employer identification number
11-6077945

Part I Identification of Disregarded Entities. Complete if the organization answered "Yes" on Form 990, Part IV, line 33.

Table with 6 columns: (a) Name, address, and EIN (if applicable) of disregarded entity; (b) Primary activity; (c) Legal domicile (state or foreign country); (d) Total income; (e) End-of-year assets; (f) Direct controlling entity.

Part II Identification of Related Tax-Exempt Organizations. Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related tax-exempt organizations during the tax year.

Table with 7 columns: (a) Name, address, and EIN of related organization; (b) Primary activity; (c) Legal domicile (state or foreign country); (d) Exempt Code section; (e) Public charity status (if section 501(c)(3)); (f) Direct controlling entity; (g) Section 512(b)(13) controlled entity? (Yes/No).

**Part III Identification of Related Organizations Taxable as a Partnership.** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, because it had one or more related organizations treated as a partnership during the tax year.

| (a)<br>Name, address, and EIN of<br>related organization | (b)<br>Primary<br>activity | (c)<br>Legal<br>domicile<br>(state<br>or<br>foreign<br>country) | (d)<br>Direct<br>controlling<br>entity | (e)<br>Predominant<br>income(related,<br>unrelated,<br>excluded from tax<br>under sections<br>512-514) | (f)<br>Share of<br>total income | (g)<br>Share of<br>end-of-year<br>assets | (h)<br>Disproprtionate<br>allocations? |    | (i)<br>Code V-UBI<br>amount in<br>box 20 of<br>Schedule K-1<br>(Form 1065) | (j)<br>General or<br>managing<br>partner? |    | (k)<br>Percentage<br>ownership |
|----------------------------------------------------------|----------------------------|-----------------------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------|---------------------------------|------------------------------------------|----------------------------------------|----|----------------------------------------------------------------------------|-------------------------------------------|----|--------------------------------|
|                                                          |                            |                                                                 |                                        |                                                                                                        |                                 |                                          | Yes                                    | No |                                                                            | Yes                                       | No |                                |
|                                                          |                            |                                                                 |                                        |                                                                                                        |                                 |                                          |                                        |    |                                                                            |                                           |    |                                |
|                                                          |                            |                                                                 |                                        |                                                                                                        |                                 |                                          |                                        |    |                                                                            |                                           |    |                                |
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|                                                          |                            |                                                                 |                                        |                                                                                                        |                                 |                                          |                                        |    |                                                                            |                                           |    |                                |
|                                                          |                            |                                                                 |                                        |                                                                                                        |                                 |                                          |                                        |    |                                                                            |                                           |    |                                |

**Part IV Identification of Related Organizations Taxable as a Corporation or Trust.** Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a corporation or trust during the tax year.

| (a)<br>Name, address, and EIN of<br>related organization | (b)<br>Primary activity | (c)<br>Legal<br>domicile<br>(state or foreign<br>country) | (d)<br>Direct controlling<br>entity | (e)<br>Type of entity<br>(C corp, S corp,<br>or trust) | (f)<br>Share of total<br>income | (g)<br>Share of end-of-<br>year<br>assets | (h)<br>Percentage<br>ownership | (i)<br>Section 512(b)<br>(13) controlled<br>entity? |    |
|----------------------------------------------------------|-------------------------|-----------------------------------------------------------|-------------------------------------|--------------------------------------------------------|---------------------------------|-------------------------------------------|--------------------------------|-----------------------------------------------------|----|
|                                                          |                         |                                                           |                                     |                                                        |                                 |                                           |                                | Yes                                                 | No |
|                                                          |                         |                                                           |                                     |                                                        |                                 |                                           |                                |                                                     |    |
|                                                          |                         |                                                           |                                     |                                                        |                                 |                                           |                                |                                                     |    |
|                                                          |                         |                                                           |                                     |                                                        |                                 |                                           |                                |                                                     |    |
|                                                          |                         |                                                           |                                     |                                                        |                                 |                                           |                                |                                                     |    |
|                                                          |                         |                                                           |                                     |                                                        |                                 |                                           |                                |                                                     |    |
|                                                          |                         |                                                           |                                     |                                                        |                                 |                                           |                                |                                                     |    |

Part V

Transactions With Related Organizations. Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.

Note. Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule.

1 During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?

a Receipt of (i) interest, (ii) annuities, (iii) royalties, or (iv) rent from a controlled entity . . . . .

1a

No

b Gift, grant, or capital contribution to related organization(s) . . . . .

1b

No

c Gift, grant, or capital contribution from related organization(s) . . . . .

1c

Yes

d Loans or loan guarantees to or for related organization(s) . . . . .

1d

Yes

e Loans or loan guarantees by related organization(s) . . . . .

1e

No

f Dividends from related organization(s) . . . . .

1f

No

g Sale of assets to related organization(s) . . . . .

1g

No

h Purchase of assets from related organization(s) . . . . .

1h

No

i Exchange of assets with related organization(s) . . . . .

1i

No

j Lease of facilities, equipment, or other assets to related organization(s) . . . . .

1j

No

k Lease of facilities, equipment, or other assets from related organization(s) . . . . .

1k

No

l Performance of services or membership or fundraising solicitations for related organization(s)

1l

Yes

m Performance of services or membership or fundraising solicitations by related organization(s) . . . . .

1m

No

n Sharing of facilities, equipment, mailing lists, or other assets with related organization(s) . . . . .

1n

Yes

o Sharing of paid employees with related organization(s) . . . . .

1o

Yes

p Reimbursement paid to related organization(s) for expenses . . . . .

1p

No

q Reimbursement paid by related organization(s) for expenses . . . . .

1q

No

r Other transfer of cash or property to related organization(s) . . . . .

1r

No

s Other transfer of cash or property from related organization(s) . . . . .

1s

No

2 If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds.

| (a)<br>Name of related organization    | (b)<br>Transaction<br>type (a-s) | (c)<br>Amount involved | (d)<br>Method of determining amount involved |
|----------------------------------------|----------------------------------|------------------------|----------------------------------------------|
| (1) STONY BROOK FOUNDATION REALITY INC | C                                | 929,856                | CASH                                         |
| (2) STONY BROOK FOUNDATION REALITY INC | D                                | 68,434                 | COST                                         |
|                                        |                                  |                        |                                              |
|                                        |                                  |                        |                                              |
|                                        |                                  |                        |                                              |
|                                        |                                  |                        |                                              |

Schedule R (Form 990) 2020

**Part VI** **Unrelated Organizations Taxable as a Partnership.** Complete if the organization answered "Yes" on Form 990, Part IV, line 37.

Provide the following information for each entity taxed as a partnership through which the organization conducted more than five percent of its activities (measured by total assets or gross revenue) that was not a related organization. See instructions regarding exclusion for certain investment partnerships.

[illegible]

**Part VII**

**Supplemental Information**

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

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

Schedule R (Form 990) 2020

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