

For calendar year 2020, or tax year beginning 01-01-2020 , and ending 12-31-2020

Name of foundation THE HARRY FRANK GUGGENHEIM FOUNDATION		A Employer identification number 13-6043471
Number and street (or P.O. box number if mail is not delivered to street address) 120 WEST 45TH STREET 25TH FLOOR	Room/suite	B Telephone number (see instructions) (646) 428-0971
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10036		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change		D 1. Foreign organizations, check here..... ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ... ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶\$ <u>72,360,041</u>	J Accounting method: ☐ Cash ☐ Accrual ☒ Other (specify) <u>Modified Cash</u> (Part I, column (d) must be on cash basis.)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)				
	2 Check ☒ if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	552,400	552,400	552,400	
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	940,102			
	b Gross sales price for all assets on line 6a _____ 9,484,465				
	7 Capital gain net income (from Part IV, line 2)		1,936,948		
	8 Net short-term capital gain			126,138	
	9 Income modifications				
	10a Gross sales less returns and allowances _____				
Operating and Administrative Expenses	b Less: Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	921,534	42,535	37,544	
	12 Total. Add lines 1 through 11	2,414,036	2,531,883	716,082	
	13 Compensation of officers, directors, trustees, etc.	614,008	98,498	98,498	515,510
	14 Other employee salaries and wages	311,764	0	0	311,764
	15 Pension plans, employee benefits	319,863	34,153	34,153	285,710
	16a Legal fees (attach schedule)	47,734	11,984	11,984	35,800
	b Accounting fees (attach schedule)	37,853	9,463	9,463	28,390
	c Other professional fees (attach schedule)	674,440	388,399	388,399	286,041
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	57,492	0	0	250
	19 Depreciation (attach schedule) and depletion	21,530	215	21,315	
	20 Occupancy	251,518	62,880	62,880	188,638
	21 Travel, conferences, and meetings	36,630	103	103	36,527
	22 Printing and publications				
	23 Other expenses (attach schedule)	96,074	21,056	19,666	75,019
	24 Total operating and administrative expenses. Add lines 13 through 23	2,468,906	626,751	646,461	1,763,649
	25 Contributions, gifts, grants paid	927,538			927,538
	26 Total expenses and disbursements. Add lines 24 and 25	3,396,444	626,751	646,461	2,691,187
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	-982,408			
	b Net investment income (if negative, enter -0-)		1,905,132		
	c Adjusted net income (if negative, enter -0-)			69,621	

Part II		Balance Sheets	Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)	Beginning of year	End of year	
				(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing		244,810	192,872	192,872
	2	Savings and temporary cash investments		941,243	585,739	585,739
	3	Accounts receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____				
	4	Pledges receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less: allowance for doubtful accounts ▶ _____				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges		236,123	194,671	194,671
	10a	Investments—U.S. and state government obligations (attach schedule)		8,663,138	8,242,366	8,242,366
	b	Investments—corporate stock (attach schedule)				
	c	Investments—corporate bonds (attach schedule)				
	11	Investments—land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____				
	12	Investments—mortgage loans				
	13	Investments—other (attach schedule)		54,563,008	62,481,803	62,481,803
	14	Land, buildings, and equipment: basis ▶ 521,621 Less: accumulated depreciation (attach schedule) ▶ 34,168		9,892	487,453	487,453
15	Other assets (describe ▶ _____)		175,137	175,137	175,137	
16	Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)		64,833,351	72,360,041	72,360,041	
Liabilities	17	Accounts payable and accrued expenses				
	18	Grants payable				
	19	Deferred revenue.				
	20	Loans from officers, directors, trustees, and other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe ▶ _____)				
	23	Total liabilities (add lines 17 through 22).		0	0	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here ☒ and complete lines 24, 25, 29 and 30.					
	24	Net assets without donor restrictions		64,833,351	72,360,041	
	25	Net assets with donor restrictions				
	Foundations that do not follow FASB ASC 958, check here ☐ and complete lines 26 through 30.					
	26	Capital stock, trust principal, or current funds				
	27	Paid-in or capital surplus, or land, bldg., and equipment fund				
	28	Retained earnings, accumulated income, endowment, or other funds				
	29	Total net assets or fund balances (see instructions)		64,833,351	72,360,041	
30	Total liabilities and net assets/fund balances (see instructions) .		64,833,351	72,360,041		

Part III Analysis of Changes in Net Assets or Fund Balances		
1	Total net assets or fund balances at beginning of year—Part II, column (a), line 29 (must agree with end-of-year figure reported on prior year's return)	1 64,833,351
2	Enter amount from Part I, line 27a	2 -982,408
3	Other increases not included in line 2 (itemize) ▶ _____	3 8,509,098
4	Add lines 1, 2, and 3	4 72,360,041
5	Decreases not included in line 2 (itemize) ▶ _____	5 0
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29.	6 72,360,041

Part IV

Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1 a AG REALTY			
b AG REALTY			
c ASCENT INDIA			
d HIRTLE CALLAGHAN			
e HIRTLE CALLAGHAN			
HIRTLE CALLAGHAN			
HIRTLE CALLAGHAN			
LEGACY VENTURE IX			
LEGACY VENTURE IX			
LEGACY VENTURE V			
LEGACY VENTURE V			
LEGACY VENTURE VII			
LEGACY VENTURE VII			
LEGACY VENTURY VI			
LEGACY VENTURY VI			
LEGACY VIII, LLC			
LEGACY VIII, LLC			
LONG TERM DISTRIBUTIONS			
MORGAN STANLEY			
NEWSTONE CAPITAL			
PEG POOLED VENTURE			
PEG POOLED VENTURE			
PUBLICLY TRADED SECURITIES			
SHORT TERM DISTRIBUTIONS			
SILVERLAKE			
SILVERLAKE			
SLP III			
SLP III			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a		61,398	-61,398
b 55,038			55,038
c		4,005	-4,005
d 497			497
e 137,618			137,618
		105,316	-105,316
		2,537	-2,537
		304	-304
51			51
222,062		17	222,045
355			355
155,075			155,075
		890	-890
504,141			504,141
5,930			5,930
18,555			18,555
388			388
574,271			574,271
		37,041	-37,041
5,405			5,405
		3,890	-3,890
		10	-10
8,589,407		8,504,785	84,622
265,252			265,252
101,757			101,757
		70	-70
26			26
21,383			21,383

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(j) F.M.V. as of 12/31/69	(k) Adjusted basis as of 12/31/69	(l) Excess of col. (i) over col. (j), if any	
a			-61,398
b			55,038
c			-4,005
d			497
e			137,618
			-105,316
			-2,537
			-304
			51
			222,045
			355
			155,075
			-890
			504,141
			5,930
			18,555
			388
			574,271
			-37,041
			5,405
			-3,890
			-10
			84,622
			265,252
			101,757
			-70
			26
			21,383

Capital gain net income or (net capital loss)		{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }		2	1,936,948
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8		{ }		3	126,138

Part V

Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

SECTION 4940(e) REPEALED ON DECEMBER 20, 2019 - DO NOT COMPLETE

1	Reserved			
(a) Reserved	(b) Reserved	(c) Reserved	(d) Reserved	
2	Reserved		2	
3	Reserved.		3	
4	Reserved		4	
5	Reserved		5	
6	Reserved		6	
7	Reserved		7	
8	Reserved		8	

Part VII

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1.		
	Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions)		
b	Reserved	1	26,481
All other domestic foundations enter 1.39% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)			
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0
3	Add lines 1 and 2.	3	26,481
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-.	5	26,481
6	Credits/Payments:		
a	2020 estimated tax payments and 2019 overpayment credited to 2020	6a	137,679
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	0
d	Backup withholding erroneously withheld	6d	0
7	Total credits and payments. Add lines 6a through 6d	7	137,679
8	Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached.	8	0
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid .	10	111,198
11	Enter the amount of line 10 to be: Credited to 2021 estimated tax Refunded	11	0

Part VII-A

Statements Regarding Activities

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		Yes	No
		1a		No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? (see Instructions for definition). <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>			No
		1b		No
c	Did the foundation file Form 1120-POL for this year?.	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. (2) On foundation managers.			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers.			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	3		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?.	4a	Yes	
b	If "Yes," has it filed a tax return on Form 990-T for this year?.	4b	Yes	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?.			
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) NY			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation</i>	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2020 or the taxable year beginning in 2020? See the instructions for Part XIV. <i>If "Yes," complete Part XIV</i>	9	Yes	
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	10		No

Part VII-A

Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions.	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ►WWW.HFG.ORG	13	Yes	
14	The books are in care of ►DEIRDRE HAMILL Telephone no. ►(646) 428-0971 Located at ►120 WEST 45TH STREET 25TH FLOOR NEW YORK NY 10036 ZIP+4 ►			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —check here and enter the amount of tax-exempt interest received or accrued during the year 15			
16	At any time during calendar year 2020, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions Organizations relying on a current notice regarding disaster assistance check here. ► ☐	1b		No
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2020?	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
a	At the end of tax year 2020, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2020? ☐ Yes ☒ No If "Yes," list the years ► 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.)	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2020 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period?(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2020.)	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2020?	4b		No

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a

During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☒ Yes ☐ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions.

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

b

If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions

Organizations relying on a current notice regarding disaster assistance check here. ☒

c

If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

If "Yes," attach the statement required by Regulations section 53.4945–5(d). ☐ Yes ☐ No

6a

Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b

Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

If "Yes" to 6b, file Form 8870. ☐ Yes ☐ No

7a

At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

b

If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction?

☐ Yes ☐ No

8

Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment during the year?

☐ Yes ☒ No

	Yes	No
5b		No
6b		No
7b		

Part VIII

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

1

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
BROGANN BOWDEN HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR 1.00	0	0	0
CAROL LANGSTAFF HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR 1.00	0	0	0
DANIEL F WILHELM HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	PRESIDENT 40.00	364,854	42,750	51,705
DEIRDRE HAMILL HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	FINANCE DIRECTOR 40.00	249,154	38,621	41,947
DONALD C HOOD HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR 1.00	0	0	0
H KIRK UNRUH JR HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR 1.00	0	0	0
JEREMIAH MILBANK III HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR 1.00	0	0	0
KAREN COLVARD HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	PROGRAM DIRECTOR 40.00	0	0	0
MATTHEW DUVECK HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR 1.00	0	0	0
PATRICIA L ROSENFELD HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR 1.00	0	0	0
PETER LAWSON-JOHNSTON HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	CHAIRMAN 1.00	0	0	0
PETER LAWSON-JOHNSTON II HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR 1.00	0	0	0
REEVE LINDBERGH HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR 1.00	0	0	0
TANIA MCCLEERY HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR	0	0	

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	1.00			
THOMAS MCNEIL HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR 1.00	0	0	0
THOMAS PIPER III HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR 1.00	0	0	0
TINA BENNETT HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR 1.00	0	0	0
WILLIAM G BARDEL HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	DIRECTOR 1.00	0	0	0
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JOEL WALLMAN HF GUGGENHEIM FDTN 120 WEST 45TH STREET 25TH FLOOR NEW YORK, NY 10036	PROGRAM OFFICER 40.00	242,339	36,857	27,809
NYELETI HONWANA HF GUGGENHEIM FDTN 120 WEST 45TH STREET 25TH FLOOR NEW YORK, NY 10036	PROGRAM OFFICER 40.00	75,246	11,608	14,034
Total number of other employees paid over \$50,000. ▶				0

Form 990-PF (2020)

Part VIII

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
HIRTLE CALLAGHAN 101 AVENUE OF THE AMERICAS 9TH FLOOR NEW YORK,NY 10013	INVESTMENT ADVISORY SERVICES	244,083
MURPHY BURNHAM & BUTTRICK ARCHITECTS 48 W 37TH ST 14 NEW YORK,NY 10018	ARCHITECTURAL SERVICES	166,680
CONWAY-CIR FEEDER FUND MGMT 165 N MERAMEC AVENUE STE 210 ST LOUIS,MO 63106	INVESTMENT ADVISORY SERVICES	73,695
Total number of others receiving over \$50,000 for professional services.		0

Part IX-A	Summary of Direct Charitable Activities
List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 THE HARRY FRANK GUGGENHEIM FOUNDATION IS A PRIVATE OPERATING FOUNDATION DEDICATED TO THE CREATION AND DISSEMINATION OF KNOWLEDGE ABOUT THE ORIGINS AND CONSEQUENCES OF VIOLENCE IN ITS MANY FORMS, INCLUDING HUMAN AGGRESSION, CRIME AND WAR, AND HOW BEST TO REDUCE IT. TO CREATE KNOWLEDGE, THE FOUNDATION SUPPORTS THE WORK OF RESEARCHERS ACROSS ACADEMIC DISCIPLINES THROUGH GRANT COMPETITIONS AND COMMISSIONED RESEARCH THAT INVESTIGATES VIOLENCE IN ITS MANY MANIFESTATIONS. THE FOUNDATION SEEKS TO DEVELOP INSIGHTS THAT REVERBERATE BEYOND ITS FUNDED RESEARCH, INFORMING POLICY AND PUBLIC DEBATE. IN ADDITION TO THE SCHOLARS FUNDED BY THE FOUNDATION, ITS STAFF CONDUCT SCIENTIFIC AND POLICY RESEARCH ON VIOLENCE AND ARE KNOWN AS EXPERTS IN THIS AREA.	2,695,187
2 (CONTINUED) - TO DISSEMINATE KNOWLEDGE ABOUT VIOLENCE, THE FOUNDATION UNDERTAKES PROGRAMMATIC INITIATIVES, SUCH AS CONFERENCES FOR ACADEMICS, JOURNALISTS, AND POLICYMAKERS. IT CONDUCTS SEMINARS TO SHARE PERSPECTIVES ON RESEARCH, WRITING PROJECTS, DATA, AND PRESSING ISSUES OF THE DAY. THE FOUNDATION ORGANIZES ACADEMIC AND POLICY MEETINGS WITH OTHER FUNDERS AND NON-GOVERNMENT ORGANIZATIONS AND CONVENES POLICYMAKER AND ACADEMIC BRIEFINGS TO SHARE RESEARCH FINDINGS IN PERSON AND ONLINE. IT PUBLISHES AND SHARES RESEARCH RESULTS, NEWS ON FOUNDATION ACTIVITIES, AND INSIGHTS ON VIOLENCE-RELATED TOPICS THROUGH ITS WEBSITE, PRINTED REPORTS, SCHOLARLY PUBLICATIONS, PUBLIC APPEARANCES, AND PROFESSIONAL MEETINGS.	0
3	
4	

Part IX-B Summary of Program-Related Investments (see instructions)	
Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3	

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities.	1a	56,832,494
b	Average of monthly cash balances.	1b	763,491
c	Fair market value of all other assets (see instructions).	1c	10,142,661
d	Total (add lines 1a, b, and c).	1d	67,738,646
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets	2	0
3	Subtract line 2 from line 1d.	3	67,738,646
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	1,016,080
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	66,722,566
6	Minimum investment return. Enter 5% of line 5.	6	3,336,128

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

1	Minimum investment return from Part X, line 6.	1	
2a	Tax on investment income for 2020 from Part VI, line 5.	2a	
b	Income tax for 2020. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b.	2c	
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1. . . .	7	

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26.	1a	2,691,187
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	2,691,187
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions.	5	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	2,691,187

Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII

Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2019	(c) 2019	(d) 2020
1 Distributable amount for 2020 from Part XI, line 7				
2 Undistributed income, if any, as of the end of 2020:				
a Enter amount for 2019 only.				
b Total for prior years: 20____, 20____, 20____				
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.				
4 Qualifying distributions for 2020 from Part XII, line 4: ▶ \$ _____				
a Applied to 2019, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2020 distributable amount				
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2020. (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
b Prior years' undistributed income. Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b. Taxable amount—see instructions.				
e Undistributed income for 2019. Subtract line 4a from line 2a. Taxable amount—see instructions.				
f Undistributed income for 2021. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions).				
8 Excess distributions carryover from 2015 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2021. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9:				
a Excess from 2016				
b Excess from 2017				
c Excess from 2018.				
d Excess from 2019				
e Excess from 2020				

Part XIV Supplementary Information (continued)

Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year ALLIANCE FOR THE VISUAL ARTS 11 BANK STREET LEBANON, NH 03766		PC	MATCHING GIFT PROGRAM	130
ANSWER RUTGERS UNIV 41 GORDON RD STE C PISCATAWAY, NJ 08854		PC	MATCHING GIFT PROGRAM	500
APPALACHIAN VOICES 589 WEST KING STREET SROYALTON, NJ 28607		PC	MATCHING GIFT PROGRAM	50
ATLANTA WOMEN'S FOUNDATION 3355 LENOX ROAD SUITE 850 ATLANTA, GA 30326		PC	MATCHING GIFT PROGRAM	500
BALE PO BOX 211 SOUTH ROYALTON, VT 05068		PC	MATCHING GIFT PROGRAM	100
BMCC FOUNDATION 199 CHAMBERS STREET NEW YORK, NY 10007		PC	MATCHING GIFT PROGRAM	2,000
BOY SCOUTS OF AMERICA 475 RIVERSIDE DRIVE -ROOM 600 NEW YORK, NY 10015		PC	MATCHING GIFT PROGRAM	3,100
BRYN MAWR COLLEGE 101 N MERION AVENUE BRYN MAWR, PA 19010		PC	MATCHING GIFT PROGRAM	2,200
BUCK HILL CONSERVATION PO BOX 350 BUCK HILL FALLS, PA 18323		PC	MATCHING GIFT PROGRAM	10,000
CAMBRIDGE IN AMERICA 1120 AVE OF THE AMERICAS 17TH FLOOR NEW YORK, NY 10036		PC	RESEARCH FELLOWSHIP	67,500
CATAMOUNT FILM AND ARTS 115 EASTERN AVE SAINT JOHNSBURY, VT 05819		PC	MATCHING GIFT PROGRAM	800
CITY OF NY THE GRADUATE CENTER 365 FIFTH AVENUE SUITE 8024 NEW YORK, NY 10016		PC	MATCHING GIFT PROGRAM	200
CITYMEALS ON WHEELS 355 LEXINGTON AVENUE NEW YORK, NY 10017		PC	MATCHING GIFT PROGRAM	300
CLEVELAND CLINIC INDIAN RIVER FOUNDATION 1000 37TH PLACE SUITE 101 VERO BEACH, FL 32960		PC	MATCHING GIFT PROGRAM	2,000
COASTAL CONSERVATION LEAGUE PO BOX 1765 CHARLESTON, SC 294021765		PC	MATCHING GIFT PROGRAM	20,000
COLUMBIA COMMUNITY SERVICE COLUMBIA UNIVERSITY 2980 BROADWAY ROOM 304 EARL HALL MC 2025 NEW YORK, NY 10027		PC	MATCHING GIFT PROGRAM	10,000
COLUMBIA UNIVERSITY 622 WEST 113TH STREET NEW YORK, NY 10025		PC	MATCHING GIFT PROGRAM	4,000
COMMUNITY HARVEST OF VT 146 LORD ROAD BERLIN, VT 05602		PC	MATCHING GIFT PROGRAM	382
CORNER HOUSE FOUNDATION 369 WITHERSPOON STREET PRINCETON, NJ 08540		PC	MATCHING GIFT PROGRAM	500
CROSSOVER MISSION 4425 US HIGHWAY 1 VERO BEACH, FL 32967		PC	MATCHING GIFT PROGRAM	2,000
DOCTORS WITHOUT BORDERS 333 SEVENTH AVENUE NEW YORK, NY 10001		PC	MATCHING GIFT PROGRAM	1,000
DR ANGELICA DUREN-MARTINEZ 883 BROADWAY ST DUGAN 201G LOWELL, MA 01854	NONE	I	DIALOGUES AND NEGOTIATIONS WITH CRIMINAL, NON-REBEL GROUPS IN LATIN AMERICA	24,904
DR JENNIFER SKEEM 120 HAVILAND HALL UNIVERSITY OF CALIFORNIA BERKELEY BERKELEY, CA 947207400	NONE	I	TARGETING INSTITUTIONAL RISK FACTORS TO REDUCE PATIENT VIOLENCE	38,705
DR MARK OBBIE 6476 COUNTY ROAD 32 CANANDAIGUA, NY 14424	NONE	I	COUNTERING MASS VIOLENCE IN THE UNITED STATES	5,275
DR MOLLY PUGH 14 FERNLEY COURT LONG LANE DUBLIN EI	NONE	I	THE CZECHOSLOVAK ARMS INDUSTRY AND THE CHANGING FACE OF GLOBAL WARFARE, 1859-1989	36,850
DR NEETI NAIR 2401 CALVERT ST NW APT 211 WASHINGTON, DC 20008	NONE	I	HURT SENTIMENTS AND BLASPHEMY IN SOUTH ASIA	47,250
DR ROMINA ISTRATII 5 AYLMER COURT SHELTON AVENUE LONDON N2 0BU UK	NONE	I	RELIGION, CONSCIENCE AND ABUSIVE BEHAVIOUR: UNDERSTANDING THE ROLE OF FAITH AND SPIRITUALITY IN THE DETERRENCE OF INTIMATE PARTNER VIOLENCE IN RURAL ETHIOPIA	25,655
DR RONALD KREBS DEPARTMENT OF POLITICAL SCIENCE UNIVERSITY OF MINNESOTA 1414 SOCIAL MINNEAPOLIS, MN 55455	NONE	I	WARS CRUCIBLE: HOW VIOLENT CONFLICT SHAPES DEMOCRACY	39,752
DR STEPHEN PIEREC DEPARTMENT OF HISTORY SAMUEL ALEXANDER BUILDING MANCHESTER M13 9PL UK	NONE	I	CULPABLE IDENTITIES: VIOLENCE, CRIMINAL LAW, AND THE POLITICS OF PERSONHOOD IN COLONIAL NORTHERN NIGERIA	26,363
DUKE UNIVERSITY SCHOOL OF NURSING BOX DUMC 3322 DURHAM, NC 27710		PC	MATCHING GIFT PROGRAM	200
EAST NORTHPORT FIRE ONE NINTH AVENUE EAST NORTHPORT, NY 11731		PC	MATCHING GIFT PROGRAM	100
FAIR BANKS MUSEUM 1302 MAIN STREET ST JOHNSBURY, VT 05819		PC	MATCHING GIFT PROGRAM	500
FINCA PO BOX 98048 WASHINGTON, DC 20090		PC	MATCHING GIFT PROGRAM	800
FRIENDS OF MORRILL HOMESTEAD PO BOX 98 STRAFFORD, VT 05072		PC	MATCHING GIFT PROGRAM	50
FRIENDS SEMINARY 222 EAST 16TH STREET NEW YORK, NY 10003		PC	MATCHING GIFT PROGRAM	200
FROG HOLLOW FARM 123 BARRE RD HUBBARDSTON, MA 01452		PC	MATCHING GIFT PROGRAM	2,000
FUTURE GENERATIONS 390 ROAD LESS TRAVELED FRANKLIN, WV 26807		PC	MATCHING GIFT PROGRAM	200
GARRISON FOREST SCHOOL 300 GARRISON FOREST ROAD OWINGS MILLS, MD 21117		PC	MATCHING GIFT PROGRAM	3,000
GEORGETOWN UNIVERSITY OFFICE OF GIFT ADMIN WASHINGTON, DC 20073		PC	MATCHING GIFT PROGRAM	700
GIANMARCO DANIELE VIA OLONA 19 MILANO, LOMBARDIA 20123 IT	NONE	I	DRUG CARTELS VIOLENCE IN NEW AND TRADITIONAL ILLEGAL MARKETS	40,000
GIFFORD YOUTH ACHIEVEMENT CENTER 4875 43RD AVENUE VERO BEACH, FL 32967		PC	MATCHING GIFT PROGRAM	2,000
GLOBAL FUND FOR CHILDREN 1101 FOURTEENTH STREET NW WASHINGTON, DC 20005		PC	MATCHING GIFT PROGRAM	400
GROTON SCHOOL GIFT PROCESSING PO BOX 991 GROTON, MA 014500991		PC	MATCHING GIFT PROGRAM	2,000
HABITAT FOR HUMANITY PO BOX 6439 AMERICUS, GA 31709		PC	MATCHING GIFT PROGRAM	200
HARTFORD DISMAS HOUSE 1673 MAPLE STREET HARTFORD, VT 05047		PC	MATCHING GIFT PROGRAM	200
HARVARD DIVINITY SCHOOL 124 MT AUBURN STREET CAMBRIDGE, MA 02138		PC	MATCHING GIFT PROGRAM	700
HIGH SPIRIT COMMUNITY FARM 1770 MASSACHUSETTS AVENUE SUITE 10 CAMBRIDGE, MA 02140		PC	MATCHING GIFT PROGRAM	600
HYDROCEPHALUS 4340 EAST WEST HIGHWAY SUITE 905 BETHESDA, MD 20814		PC	MATCHING GIFT PROGRAM	206
INDIAN RIVER HOSPITAL FOUNDATION 1000 37TH PLACE SUITE 101 VERO BEACH, FL 32960		PC	MATCHING GIFT PROGRAM	2,500
JAG PRODUCTIONS PO BOX 354 WHITE RIVER JUNCTION, VT 05001		PC	MATCHING GIFT PROGRAM	200
JOHN JAY COLLEGE OF CRIMINAL JUSTICE 524 WEST 59TH STREET NEW YORK, NY 10019		PC	15TH ANNUAL JOHN JAY SYMPOSIUM ON CRIME IN AMERICA	112,091
JOHNS HOPKINS WHITTING SCHOOL OF ENGINEERING DEVELOPMENT AND ALUMNI RELATIONS WY BALTIMORE, MD 21218		PC	MATCHING GIFT PROGRAM	1,000
JUPITER MEDICAL CENTER FOUNDATION 1210 S OLD DIXIE HIGHWAY JUPITER, FL 33458		PC	MATCHING GIFT PROGRAM	3,400
LAWRENCEVILLE SCHOOL BOX 6008 LAWRENCEVILLE, NJ 08648		PC	MATCHING GIFT PROGRAM	5,000
LINDSAY RANDALL 18/8 STEADS PLACE EDINBURGH, MIDLOTHIAN EH6 5DS UK	NONE	I	CONTESTING THE CITY: KINSHIP, ISLAM, AND ETHNIC POLITICS OF BELONGING IN HARAR, ETHIOPIA	20,000
LISTEN COMMUNITY SVS 60 HANOVER STREET LEBANON, NH 03766		PC	MATCHING GIFT PROGRAM	70
MANUEL EISNER INSTITUTE OF CRIMINOLOGY CAMBRIDGE UNIVERSITY SIDGWICK AVENUE CAMBRIDGE CB3 9DA UK	NONE	I	VIOLENCE AND THE PANDEMIC	3,500
MERCY SHIPS PO BOX 1930 GARDEN VALLEY, TX 75771		PC	MATCHING GIFT PROGRAM	4,000
MOLIERE IN THE PARK 295 SAINT JOHNS PLACE 3A BROOKLYN, NY 11238		PC	MATCHING GIFT PROGRAM	200
MR JAMES AUSTIN 52 MERRY WAY CAMDEN, SC 29020	NONE	I	PROJECTING FUTURE VIOLENT AND PROPERTY CRIME RATES FOR US STATES	35,000
MR MATTHEW SIMONSON 52 BISHOP ALLEN DR APT 2 CAMBRIDGE, MA 02139	NONE	I	KILL A STRANGER, SAVE A NEIGHBOR: CIVILIAN AND COMBATANT NETWORKS UNDER FIRE	20,000
MR PHILIP JOHNSON 310 BLEECKER STREET APT 1 BROOKLYN, NY 11237	NONE	I	NARCOCOMMUNICATION: THE PUBLIC MESSAGES, MURDERS, AND MEDIA OF ORGANIZED CRIME	20,000
MR WILLIAM WHITHAM DEPARTMENT OF HISTORY 129 DICKINSON HALL PRINCETON, NJ 08544	NONE	I	STATISM AND ANARCHY: ILLUSION, INSURRECTION, AND THE TRAGEDY OF THE LEFT	20,000
MS CHULANI KODIKARA 93/7 PORTOBELLO HIGH STREET EDINBURGH, SCOTLAND EH15 1AW UK	NONE	I	GRIEF AND HOPE, INSCRIPTION AND ERASURE: A STRUGGLE FOR TRUTH AND JUSTICE IN POST-WAR SRI LANKA	20,000
MS MAAYAN ARMELIN MITZPE GILON, NW MISGAV 112 GILON 2010300 IS	NONE	I	LEADERSHIP STYLES AND SOCIAL RELATIONS IN THE SS-EINSAATZGRUPPEN	20,000
MS MARIA TERESA RESTREPO-RUIZ 63 KINNE RD GLASTONBURY, CT 06033	NONE	I	INTIMATE PARTNER VIOLENCE IN ARMED CONFLICT CONTEXTS: THE CASE OF COLOMBIA	20,000
MS MOLLY MINDEN 1706 HELENA STREET MADISON, WI 53704	NONE	I	LEGACIES OF SOCIAL VIOLENCE IN ARMED MOBILIZATION: RESISTANCE TO DAMS IN GUATEMALA	20,000
MUSELLA FOUNDATION 1100 PENINSULA BLVD HEWLETT, NY 11557		PC	MATCHING GIFT PROGRAM	200
MV YOUTH PO BOX 65 CHILMARK, MA 02535		PC	MATCHING GIFT PROGRAM	1,783
NATIONAL CATHEDRAL SCHOOL 3612 WOODLEY ROAD NW WASHINGTON, DC 20016		PC	MATCHING GIFT PROGRAM	200
NEW YORK COMMUNITY TRUST 909 THIRD AVENUE 22ND FLOOR NEW YORK, NY 10022		PC	MATCHING GIFT PROGRAM	10,000
NORTHWESTERN UNIVERSITY 1201 DAVIS STREET EVANSTON, IL 60208		PC	MATCHING GIFT PROGRAM	700
OXFAM 1101 17TH ST NW SUITE 1300 WASHINGTON, DC 20036		PC	MATCHING GIFT PROGRAM	308
PARTNERSHIP FOR INNER CITY EDUCATION 1001 FIRST AVENUE SUITE 1800 NEW YORK, NY 10022		PC	MATCHING GIFT PROGRAM	1,000
PETEY GREENE 9 MERCER STREET PRINCETON, NJ 08540	NONE	I	MATCHING GIFT PROGRAM	460
PHILANTHROPY NY 320 E 43RD ST NEW YORK NY 10017 NEW YORK, NY 10017		PC	GENERAL SUPPORT	3,750
PPCGNJV 437 EAST STATE STREET TRENTON, NJ 08608		PC	MATCHING GIFT PROGRAM	2,200
PRINCETON DAY SCHOOL 650 GREAT RD PRINCETON, NJ 08540		PC	MATCHING GIFT PROGRAM	400
PRINCETON MEDICAL CENTER 5 PLAINSBORO ROAD SUITE 365 PLAINSBORO, NJ 08536		PC	MATCHING GIFT PROGRAM	600
PROF PAOLO PINOTTI VIA ROENTGEN 1 MILAN 20136 IT	NONE	I	ECONOMIC SHOCKS, SOCIAL INSURANCE AND VIOLENT CRIMES: EVIDENCE FROM BRAZIL	40,000
REVELS NORTH PO BOX 415 HANOVER, NH 03755		PC	MATCHING GIFT PROGRAM	200
ROYALTON COMMUNITY RADIO PO BOX 281 SOUTH ROYALTON, VT 05068		PC	MATCHING GIFT PROGRAM	50
RURAL VERMONT 46 EAST STATE STREET MONTPELIER, VT 05602		PC	MATCHING GIFT PROGRAM	50
SARASA 14 HIGH STREET CAMBRIDGE, MA 02138		PC	MATCHING GIFT PROGRAM	50
SCA PO BOX 550 CHARLESTOWN, NH 03603		PC	MATCHING GIFT PROGRAM	200
SEVEN STARS ART CENTER PO BOX 216 SHARON, VT 050656635		PC	MATCHING GIFT PROGRAM	50
SHARON CONGREGATIONAL CHURCH PO BOX 42 SHARON, VT 050656635		PC	MATCHING GIFT PROGRAM	500
SHARON HEALTH INITIATIVE PO BOX 42 SHARON, VT 05065		PC	MATCHING GIFT PROGRAM	400
ST FRANCIS OF ASSISI CLAYPITTS RD GREENLAWN, NY 11721		PC	MATCHING GIFT PROGRAM	520
ST GEORGE'S SCHOOL PO BOX 1910 NEWPORT, RI 02840		PC	MATCHING GIFT PROGRAM	4,600
ST HILDA'S SCHOOL 619 WEST 144TH STREET NEW YORK, NY 100257995		PC	MATCHING GIFT PROGRAM	1,000
ST PAUL'S SCHOOL 11152 FALLS ROAD BROOKLANDVILLE, MD 21022		PC	MATCHING GIFT PROGRAM	10,000
STRAFFORD HISTORICAL SOCIETY PO BOX 100 STRAFFORD, VT 05072		PC	MATCHING GIFT PROGRAM	50
SUFFIELD ACADEMY 185 N MAIN STREET SUFFIELD, CT 06078		PC	MATCHING GIFT PROGRAM	2,000
THE SOLOMON R GUGGENHEIM MUEUM 1071 FIFTH AVENUE NEW YORK, NY 101280173		PC	GENERAL SUPPORT	15,000
TRENTON CIRCUUS SQUAD 675 SOUTH CLINTON AVENUE TRENTON, NJ 08611		PC	MATCHING GIFT PROGRAM	2,000
TRINITY COLLEGE 300 SUMMIT STREET HARTFORD, CT 06106		PC	MATCHING GIFT PROGRAM	1,000
TUBEROUS SCLEROSIS ALLIANCE 801 ROEDER ROAD STE 750 SILVER SPRING, MD 20910		PC	MATCHING GIFT PROGRAM	200
URBAN HOPE PO BOX 23171 RICHMOND, VA 232230571		PC	MATCHING GIFT PROGRAM	1,036
VERMONT ARTS COUNCIL 136 STATE STREET MONTPELIER, VT 05633		PC	MATCHING GIFT PROGRAM	1,800
VERMONT FOOD BANK 33 PARKER ROAD BARRE, VT 05641		PC	MATCHING GIFT PROGRAM	480
VERMONT PUBLIC RADIO 365 TROY AVENUE COLCHESTER, VT 05446		PC	MATCHING GIFT PROGRAM	480
VITAL COMMUNITIES 195 NORTH MAIN STREET WHITE RIVER JUNCTION, VT 05001		PC	MATCHING GIFT PROGRAM	100
WELLESLEY COLLEGE 106 CENTRAL STREET WELLESLEY, MA 02481		PC	MATCHING GIFT PROGRAM	600
WESTPORT RIVER WATERSHED 1151 MAIN ROAD WESTPORT, MA 02790		PC	MATCHING GIFT PROGRAM	140
WHITE RIVER PARTNERSHIP PO BOX 705 S ROYALTON, VT 05068		PC	MATCHING GIFT PROGRAM	100
YORK THEATER 619 LEXINGTON AVENUE NEW YORK, NY 10022		PC	MATCHING GIFT PROGRAM	300
YOUTH 535 8TH AVENUE SUITE 1400 NEW YORK, NY 10018		PC	MATCHING GIFT PROGRAM	5,000
ZOZAN PEHLIVAN 918 HELLER HALL 271 19TH AVE S MINNEAPOLIS, MN 55455	NONE	I	A CLIMATE OF VIOLENCE: ENVIRONMENTAL CRISES IN LATE OTTOMAN EMPIRE	39,980
Total			3a	902,520
b Approved for future payment				
BENJAMIN HOY 724 ARTS BUILDING UNIVERSITY OF SASKATCHEWAN 9 CAMPUS DRIVE SASKATO SASKATOON, SASKATCHEWAN S2N0Z1 CA		PC	DOMINATING A CONTINENT: VIOLENCE, RETRIBUTION, AND FORCIBLE CONFINEMENT IN NORTH AMERICA	32,296
DANIEL HIRATA RUA CARDOZO JUNIOR RIO DE JANEIRO 22245-000 BR	NONE	I	POLICE SPECIAL OPERATIONS AND ARMED CRIMINAL GROUPS IN RIO DE JANEIRO	30,000
DAVID HENG UTRECHT UNIVERSITY / SJOERD GROENMAA BUILDING PADUALAAN 14 UTRECHT 3584 CH NL	NONE	I	DEADLY ENVIRONMENTS: LIVING AMONG EXPLOSIVE WAR REMNANTS IN FORMER YUGOSLAVIA	5,505
DR ANKUR DATTA JAWAHARLAL NERU UNIVERSITY UK 149 A FIRST FLOOR NEW DELHI, DELHI 110067 IN	NONE	I	VICTIMHOOD IN A TIME OF CRISIS: MUSLIMS AND THE RIOTS OF 2020 IN NEW DELHI, INDIA	7,728
DR DORIAN JURIC 15 MOLLER RD PO BOX 1218 FRUITVALE, BRITISH COLUMBIA V6G 1L0 CA	NONE	I	TWAS ALWAYS KNOWN AS THE BLOODY FRONTIER: RUMORS, MEMORIES, AND BOSNIAN IDENTITY IN THE MIGRANT CRISIS	31,841
DR ERIC MIN 3254 BUNCHE HALL LOS ANGELES, CA 90095	NONE	I	FIGHTING AND BARGAINING ACROSS TWO CENTURIES OF INTERNATIONAL CONFLICT	28,910
DR JEREMY SPEIGHT PO BOX 756420 DEPARTMENT OF POLITICAL SCIENCE UNIVERSITY OF ALA FAIRBANKS, AK 997756420	NONE	I	EX-REBEL AUTHORITY IN POST-CONFLICT POLITICS: EVIDENCE FROM CTE DIVOIRE	35,000
DR KATHERINE BRUCE-LOCKHART 200 UNIVERSITY AVENUE WEST DEPARTMENT OF HISTORY UNIVERSITY OF WATERLOO, ONTARIO N2L 3G1 CA	NONE	I	UNDERSTANDING VIOLENCE AND INCARCERATION IN AFRICA: EVIDENCE FROM BRITISH COLONIES AND POSTCOLONIAL STATES	22,556
DR LAINE MUIR PO BOX 2259 KIGALI RW	NONE	I	VALUABLE RESOURCES: WOMEN, CONFLICT, AND MODERN MINING IN RWANDA	21,980
DR PAMELA MAINYE COLUMBIA UNIVERSITY INSTITUTE OF AFRICAN STUDIES KISII UNIVERSITY KE NEW YORK, NY 10027	NONE	I	SUPER-COPS, EXTRA-JUDICIAL KILLINGS AND POPULAR IMAGINARIES OF POLICING IN FACEBOOK GROUPS, IN NAIROBI	28,000
DR ROBERT SIMIYU DEPARTMENT OF GEOGRAPHY KISII UNIVERSITY KISII 40200 KE	NONE	I	GEOGRAPHY, IDENTITY FORMATION, AND INTRA-ETHNIC CONFLICTS IN KENYA'S MT. ELGON REGION: DECONSTRUCTING THE SOY/MOSOP DIVIDE AS A BASIS FOR CONFLICT RESOLUTION	16,900
DR URI LIFDHIN BOROCHOV 29 ST TEL AVIV, ISRAEL 64252 IS	NONE	I	INCREASING PERCEIVED SIMILARITY OF THE SELF TO ANIMALS TO REDUCE INTERGROUP HOSTILITY AND PROMOTE PEACE: TESTING A NOVEL INTERVENTION IN THREE NATIONS	18,996
GEWA KLOPPE-SANTAMARIA 737 W BROMPTON AVENUE APT 2C CHICAGO, IL 60657		PC	IN THE NAME OF CHRIST: RELIGIOUS VIOLENCE AND ITS LEGITIMACY IN MEXICO (1920-2020)	16,520
GEORGE MASON UNIVERSITY 4400 UNIVERSITY DRIVE FAIRFAX, VA 22030		PC	CONGRESSIONAL BRIEFING ONRecent U.S VIOLENCE TRENDS	12,650
JOHN JAY COLLEGE OF CRIMINAL JUSTICE 524 WEST 59TH STREET NEW YORK, NY 10019		PC	16TH ANNUAL JOHN JAY SYMPOSIUM ON CRIME IN AMERICA	102,000
MR GREGORY BERMAN 50 ST MARKS AVENUE BROOKLYN, NY 11217	NONE	I	AT THE CROSSROADS	40,000
PEMBROKE COLLEGE CAMBRIDGE CB2 1RF UK		NC	HFG GUGGENHEIM FELLOW	70,000
RAND CORPORATION 1776 MAIN STREET SANTA MONICA, CA 90401		PC	GUN VIOLENCE	30,000
ROMINA ISTRATII 262 LORDSHIP LANE LONDON SE 22 8LT UK	NONE	I	RELIGION, CONSCIENCE AND ABUSIVE BEHAVIOR: UNDERSTANDING THE ROLE OF FAITH AND SPIRITUALITY IN THE DETERRENCE OF INTIMATE PARTNER VIOLENCE IN RURAL ETHIOPIA	11,679
SALZBURG GLOBAL SEMINAR LEOPOLDSKRONSTRAE 56-58 SALZBURG AU		NC	SALZBURG GLOBAL SEMINAR 2021	100,000
SMADAR BEN-NATAN 416 E AVOY ST APT K SEATTLE, WA 98102		PC	THE CARCERAL STATE IN CONFLICT: BETWEEN RECONCILIATION AND RADICALIZATION	39,320
STEVEN PIERCE DEPARTMENT OF HISTORY SAMUEL ALEXANDER BUILDING MANCHESTER M13 9PL UK	NONE	I	CULPABLE IDENTITIES: VIOLENCE, CRIMINAL LAW, AND THE RIGHTS OF PERSONHOOD IN COLONIAL NORTHERN NIGERIA	35,000
THE CRIME REPORT 524 WEST 59TH STREET NEW YORK, NY 10019		PC	THE CRIME REPORT	10,000
Yael Zeira 4831 HYDE ROAD MANILUS, NY 13104	NONE	I	THE ETHNICIZATION OF CONFLICT: A SOCIAL MEDIA ANALYSIS	39,825
YOLANA PRINGLE 40 KINGS ROAD HITCHIN, HERTFORDSHIRE SG5 1RD UK	NONE	I	POLITICAL VIOLENCE AND MENTAL HEALTH IN AFRICA, 1970S-90S	27,890
Total			3b	814,590

Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions.)
(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
Enter gross amounts unless otherwise indicated.				
1 Program service revenue:				
a _____				
b _____				
c _____				
d _____				
e _____				
f _____				
g Fees and contracts from government agencies				
2 Membership dues and assessments.				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities		14	552,400	
5 Net rental income or (loss) from real estate:				
a Debt-financed property.				
b Not debt-financed property.				
6 Net rental income or (loss) from personal property				
7 Other investment income.		14	854,217	
8 Gain or (loss) from sales of assets other than inventory	900000	52,998	18	84,622
9 Net income or (loss) from special events:				
10 Gross profit or (loss) from sales of inventory				
11 Other revenue:				
a MADOFF VICTIM FUND		18	40,143	
b UBIT INCOME PER K1S	900000	-3,089	14	0
c OTHER INCOME		18	2,572	
d LEGAL FEE REFUND		18	1,000	
e LP LI		18	26,691	
12 Subtotal. Add columns (b), (d), and (e).		49,909	1,561,645	802,482
13 Total. Add line 12, columns (b), (d), and (e).				2,414,036

[illegible]

Part XVII

Yes	No
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	Yes
	No

[illegible]

No

	No
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No

	No

ue

cements

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

Sign Here

2021-11-15

Date

May the IRS discuss this return with the preparer shown below
(see instr.) ☒ Yes ☐ No

**Paid
Preparer
Use Only**

Additional Data

Return to Form

Software ID:

Software Version:

Form 990PF - Special Condition Description:

Special Condition Description

TY 2020 IRS 990 e-File Render

Name: THE HARRY FRANK GUGGENHEIM FOUNDATION
EIN: 13-6043471

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MARKS PANETH LLP	37,853	9,463	9,463	28,390

TY 2020 IRS 990 e-File Render

Name: THE HARRY FRANK GUGGENHEIM FOUNDATION

EIN: 13-6043471

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

8,242,366

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

8,242,366

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

0

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

0

TY 2020 IRS 990 e-File Render
Name: THE HARRY FRANK GUGGENHEIM FOUNDATION

EIN: 13-6043471

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
AG REALTY	FMV	213,400	213,400
AKO	FMV	2,761,905	2,761,905
ALTIMETER	FMV	3,917,826	3,917,826
ASCENT INDIA	FMV	259,647	259,647
CAR VAL	FMV	24,226	24,226
CHILDREN'S	FMV	4,093,839	4,093,839
DE SHAW	FMV	4,456,708	4,456,708
HC CAPITAL INTERNATIONAL	FMV	8,476,110	8,476,110
HC CAPITAL LARGE CAP GROWTH	FMV	15,722,214	15,722,214
HIRTLE CAPITAL EMERGING MARKETS	FMV	3,916,271	3,916,271
JPM POOLED COR FN CL B LLC 15%	FMV	292	292
JPM POOLED VC CL B LLC 64%	FMV	9,954	9,954
LEGACY	FMV	1,110,605	1,110,605
LEGACY VI	FMV	2,677,029	2,677,029
LEGACY VII	FMV	2,832,406	2,832,406
LEGACY VIII	FMV	1,349,667	1,349,667
NEUHAUS	FMV	321,043	321,043
NEWSTONE	FMV	155,023	155,023
SILVERLAKE	FMV	89,125	89,125
STRATUS FEEDER	FMV	378	378
TACONIC	FMV	1,121,153	1,121,153
TWO SIGMA	FMV	1,631,212	1,631,212
LEGACY VENTURE IX	FMV	489,619	489,619
SILVERLAKE V	FMV	958,197	958,197
HC SELECT EQUITY	FMV	3,915,062	3,915,062
HC PE FUND XII	FMV	621,919	621,919
HC PE FUND 2020	FMV	41,045	41,045
HC ALTERNATIVE CREDIT	FMV	1,315,928	1,315,928

TY 2020 IRS 990 e-File Render

Name: THE HARRY FRANK GUGGENHEIM FOUNDATION

EIN: 13-6043471

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
CLEARY GOTTlieb STEEN & HAMILTON LLP	24,907	6,277	6,277	18,680
EWENSTEIN & ROTH LLP	6,680	1,670	1,670	5,010
FRAGOMEN, DEL REY, BERNSEN & LOEWY, LLP	3,212	803	803	2,409
HARRIS BEACH PLC	2,747	687	687	2,060
LITMAN & JACOBS	2,500	625	625	1,875
LITTLE MENDELSON, P.C.	7,688	1,922	1,922	5,766

TY 2020 IRS 990 e-File Render

Name: THE HARRY FRANK GUGGENHEIM FOUNDATION

EIN: 13-6043471

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
SECURITY DEPOSITS	175,137	175,137	175,137

TY 2020 IRS 990 e-File Render

Name: THE HARRY FRANK GUGGENHEIM FOUNDATION

EIN: 13-6043471

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INSURANCE	9,267	1,390	0	7,877
SERVICE CONTRACTS	13,830	2,075	2,075	11,756
OFFICE EXPENSE	33,123	9,795	9,795	23,329
MISCELLANEOUS	2,056	19	19	2,035
COMPUTER SOFTWARE	12,644	1,897	1,897	10,747
OUTSIDE FINANCIAL CONFERENCES	3,578	3,578	3,578	0
REPAIRS & MAINTENANCE	129	19	19	110
PAYROLL FEES	2,231	335	335	1,896
DUES AND SUBSCRIPTIONS	19,216	1,948	1,948	17,269

TY 2020 IRS 990 e-File Render

Name: THE HARRY FRANK GUGGENHEIM FOUNDATION

EIN: 13-6043471

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
INCOME PER K-1'S	854,217	-26,871	-29,773
MADOFF VICTIM FUND	40,143	40,143	40,143
UBIT INCOME PER K1S	-3,089		-3,089
OTHER INCOME	2,572	2,572	2,572
LEGAL FEE REFUND	1,000		1,000
LP LI	26,691	26,691	26,691

TY 2020 IRS 990 e-File Render

Name: THE HARRY FRANK GUGGENHEIM FOUNDATION

EIN: 13-6043471

Description	Amount
UNREALIZED APRECIATION IN MARKET VALUE OF INVESTMENTS	8,509,098

TY 2020 IRS 990 e-File Render

Name: THE HARRY FRANK GUGGENHEIM FOUNDATION

EIN: 13-6043471

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
HIRTLE CALLAGHAN	244,083	244,083	244,083	0
MURPHY, BURNHAM & BUTTRICK ARCHITECTS	166,680	0	0	166,680
OTHER PROFESSIONAL FEES	56,025	1,500	1,500	54,525
LEGAL FEES	64,836	0	0	64,836
CONWAY	73,695	73,695	73,695	0
BNY FEES	54,323	54,323	54,323	0
TACONIC	5,274	5,274	5,274	0
SILVERLAKE	9,524	9,524	9,524	0

TY 2020 IRS 990 e-File Render

Name: THE HARRY FRANK GUGGENHEIM FOUNDATION

EIN: 13-6043471

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
NYS UNRELATED BUSINESS TAX	1,500	0	0	0
FEDERAL EXCISE TAX	55,742	0	0	0
NYC ANNUAL FILING FEE	250	0	0	250