

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

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>82,593,651</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	66,145	66,174	66,174	
	4 Dividends and interest from securities	732,090	732,090	732,090	
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	5,594,175			
	b Gross sales price for all assets on line 6a <u>5,592,072</u>				
	7 Capital gain net income (from Part IV, line 2)		8,234,340		
	8 Net short-term capital gain			1,829,839	
	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)	2,426,934	76,610	69,286	
	12 Total. Add lines 1 through 11	8,819,344	9,109,214	2,697,389	
	13 Compensation of officers, directors, trustees, etc.	625,262	96,279	97,251	528,011
	14 Other employee salaries and wages	297,891	0	0	297,891
	15 Pension plans, employee benefits	289,037	33,474	33,813	260,010
	16a Legal fees (attach schedule)	123,640	30,601	30,910	92,730
	b Accounting fees (attach schedule)	37,717	9,335	9,429	28,288
	c Other professional fees (attach schedule)	665,519	436,418	440,794	227,944
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	75,914	4,785	4,785	44,118
	19 Depreciation (attach schedule) and depletion	77,678	76,901	77,678	
	20 Occupancy	351,699	87,046	87,925	263,774
	21 Travel, conferences, and meetings	23,477	368	372	23,106
	22 Printing and publications				
	23 Other expenses (attach schedule)	139,957	25,051	25,304	114,653
	24 Total operating and administrative expenses. Add lines 13 through 23	2,707,791	800,258	808,261	1,880,525
	25 Contributions, gifts, grants paid	979,986			979,986
	26 Total expenses and disbursements. Add lines 24 and 25	3,687,777	800,258	808,261	2,860,511
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	5,131,567			
	b Net investment income (if negative, enter -0-)		8,308,956		
c Adjusted net income (if negative, enter -0-)				1,889,128	

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		192,872	99,200	99,200
	2	Savings and temporary cash investments		585,739	1,102,823	1,102,872
	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		194,671	133,455	133,455
	10a	Investments—U.S. and state government obligations (attach schedule)		8,242,366	10,025,873	10,025,873
	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)		62,481,803	70,560,156	70,560,156
	14	Land, buildings, and equipment: basis ▶ 607,033 Less: accumulated depreciation (attach schedule) ▶ 111,846		487,453	495,187	495,187
15	Other assets (describe ▶ _____)		175,137	176,908	176,908	
16	Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)		72,360,041	82,593,602	82,593,651	
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		72,360,041	82,593,602	
	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)		72,360,041	82,593,602	
	30	Total liabilities and net assets/fund balances (see instructions) .		72,360,041	82,593,602	

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 72,360,041
2	Enter amount from Part I, line 27a	2 5,131,567
3	Other increases not included in line 2 (itemize) ▶ _____	3 5,101,994
4	Add lines 1, 2, and 3	4 82,593,602
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 82,593,602

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 LONG TERM DISTRIBUTIONS	P		
b SHORT TERM DISTRIBUTIONS	P		
c NEUHAUS	P		
d HIRTLE CALLAGHAN	P		
e NEWSTONE CAPITAL			
AG REALTY	P		
AG REALTY	P		
ASCENT INDIA	P		
PEG POOLED VENTURE	P		
PEG POOLED CORPORATE	P		
LEGACY VIII LLC	P		
LEGACY VIII LLC	P		
LEGACY VENTURE VI	P		
LEGACY VENTURE VI	P		
LEGACY VENTURE VII	P		
LEGACY VENTURE VII	P		
LEGACY VENTURE V	P		
LEGACY VENTURE V	P		
LEGACY VENTURE IX	P		
LEGACY VENTURE IX	P		
HIRTLE CALLAGHAN	P		
HIRTLE CALLAGHAN	P		
BROWN ADVISORY	P		
BROWN SILVERLAKE	P		
BROWN ADVISORY	P		
AG REALTY	P		
HIRTLE CALLAGHAN	P		
LEGACY VENTURE IX	P		
HIRTLE CALLAGHAN	P		

(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 2,379,089			2,379,089
b 1,792,379			1,792,379
c 344,077			344,077
d 1,076,527			1,076,527
e		1,070	-1,070
		420	-420
		3,434	-3,434
65,508			65,508
		5,515	-5,515
		3,358	-3,358
13,687			13,687
238,807			238,807
1,353			1,353
929,463			929,463
2,638			2,638
550,821			550,821
474			474
514,402			514,402
40,104			40,104
54,225			54,225
		23,400	-23,400
198,112			198,112
9,591			9,591
3,024			3,024
57,256			57,256
			0
			0
			0
			0

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			2,379,089
b			1,792,379
c			344,077
d			1,076,527
e			-1,070
			-420
			-3,434
			65,508
			-5,515
			-3,358
			13,687
			238,807
			1,353
			929,463
			2,638
			550,821
			474
			514,402
			40,104
			54,225
			-23,400
			198,112
			9,591
			3,024
			57,256
			0
			0
			0
			0

Capital gain net income or (net capital loss)		2	8,234,340
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	1,829,839

Part V

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

Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter

Bracket for line 1a

"N/A" on line 1.

1a

Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions)

All other domestic foundations enter 1.39% (0.0139) of line 27b. Exempt foreign organizations enter 4% (0.04) of Part I, line 12, col. (b)

b

Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)

2

Add lines 1 and 2.

3

Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)

4

Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-.

5

Credits/Payments:

6

a 2021 estimated tax payments and 2020 overpayment credited to 2021

6a

b Exempt foreign organizations—tax withheld at source

6b

c Tax paid with application for extension of time to file (Form 8868)

6c

d Backup withholding erroneously withheld

6d

7 Total credits and payments. Add lines 6a through 6d

7

8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached.

8

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

11 Enter the amount of line 10 to be: Credited to 2022 estimated tax Refunded

11

Part VI-A

Statements Regarding Activities

1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?

1a

Yes No

b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition.
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.

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. \$ 0 (2) On foundation managers. \$ 0

2

Has the foundation engaged in any activities that have not previously been reported to the IRS? .
If "Yes," attach a detailed description of the activities.

2

No

3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes

3

No

4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?

4a

No

b If "Yes," has it filed a tax return on Form 990-T for this year?.

4b

No

5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?
If "Yes," attach the statement required by General Instruction T.

5

No

6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either:
• By language in the governing instrument, or
• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?.

6

Yes

7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XIV.

7

Yes

8a Enter the states to which the foundation reports or with which it is registered (see instructions)
NY

8a

Yes

b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation .

8b

Yes

9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2021 or the taxable year beginning in 2021? See the instructions for Part XIII. If "Yes," complete Part XIII

9

Yes

10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses.

10

No

Part VI-A

Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions.	11		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 2021, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
	See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign			

Part VI-B

Statements Regarding Activities for Which Form 4720 May Be Required

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

Part VI-B			Statements Regarding Activities for Which Form 4720 May Be Required (continued)		
5a			During the year did the foundation pay or incur any amount to:		
(1)			Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?		
5a(1)			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?		
5a(2)					No
(3)			Provide a grant to an individual for travel, study, or other similar purposes?		
5a(3)			Yes		
(4)			Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions		
5a(4)					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?		
5a(5)					No
b			If any answer is "Yes" to 5a(1)–(5); did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions		
5b					No
c			Organizations relying on a current notice regarding disaster assistance check here		
d			If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? If "Yes," attach the statement required by Regulations section 53.4945–5(d).		
5d					
6a			Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		
6a					No
b			Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? If "Yes" to 6b, file Form 8870.		
6b					No
7a			At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?		
7a					No
b			If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction?		
7b					
8			Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment during the year?		
8					No

Part VII

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

1

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
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	393,761	91,714	0
DEIRDRE HAMILL HF GUGGENHEIM FDTN 120 WEST 45TH STREET - 25TH FLOOR NEW YORK, NY 10036	FINANCE DIRECTOR 40.00	231,501	69,820	0
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
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 1.00	0	0	0
THOMAS MCNEIL JR	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 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	231,885	69,769	0
NYELETI HONWANA HF GUGGENHEIM FDTN 120 WEST 45TH STREET 25TH FLOOR NEW YORK, NY 10036	PROGRAM OFFICER 40.00	74,296	23,453	0
Total number of other employees paid over \$50,000. 				0

Part VII

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
HIRTLE CALLAGHAN 101 AVENUE OF THE AMERICAS 9TH FLOOR NEW YORK,NY 10013	INVESTMENT ADVISORY SERVICES	278,474
CONWAY-CIR FEEDER FUND MGMT 165 N MERAMEC AVENUE STE 210 ST LOUIS,MO 63106		
LIZA HOGAN 1840 VERMONT AVE WASHINGTON,DC 20001	CONSULTING	77,660

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

0

Part VIII- Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 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.	3,058,088
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 VIII- Summary of Program-Related Investments (see instructions)

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities.	1a	61,035,785
b	Average of monthly cash balances.	1b	1,007,258
c	Fair market value of all other assets (see instructions).	1c	16,964,277
d	Total (add lines 1a, b, and c).	1d	79,007,320
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	79,007,320
4	Cash deemed held for charitable activities. Enter 1.5% (0.015) of line 3 (for greater amount, see instructions).	4	1,185,110
5	Net value of noncharitable-use assets. Subtract line 4 from line 3.	5	77,822,210
6	Minimum investment return. Enter 5% (0.05) of line 5.	6	3,891,111

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

1	Minimum investment return from Part IX, line 6.	1	
2a	Tax on investment income for 2021 from Part V, line 5.	2a	
b	Income tax for 2021. (This does not include the tax from Part V.).	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 XII, line 1. . . .	7	

Part XI Qualifying Distributions (see instructions)

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

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

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

Part XIII

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

1a

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

1989-07-01

b

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

☒ 4942(j)(3) or ☐ 4942(j)(5)

2a

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

b

85% (0.85) of line 2a

c

Qualifying distributions from Part XI, line 4 for each year listed

d

Amounts included in line 2c not used directly for active conduct of exempt activities

e

Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c

Tax year	Prior 3 years				(e) Total		
(a) 2021	(b) 2020	(c) 2019	(d) 2018				
1,889,128	69,621	529,499	682,675	3,170,923			
1,605,759	59,178	450,074	580,274	2,695,285			
2,860,511	2,691,187	3,149,633	3,029,491	11,730,822			
54,589	140,944	138,223	201,985	535,741			
2,805,922	2,550,243	3,011,410	2,827,506	11,195,081			
3 Complete 3a, b, or c for the alternative test relied upon:							
a "Assets" alternative test—enter:							
(1) Value of all assets					0		
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					0		
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part IX, line 6 for each year listed . .							
2,594,074	2,224,085	2,005,111	1,987,179	8,810,449			
c "Support" alternative test—enter:							
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					0		
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).					0		
(3) Largest amount of support from an exempt organization					0		
(4) Gross investment income					0		

Part

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

1

Information Regarding Foundation Managers:

a

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

b

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

2

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

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

a

The name, address, and telephone number or e-mail address of the person to whom applications should be addressed:

JOEL WALLMAN
120 WEST 45TH STREET 25TH FLOOR
NEW YORK, NY 10036
(646) 428-0971

b

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

SEE ATTACHMENT B

c

Any submission deadlines:

FEBRUARY 1ST AND AUGUST 1ST

d

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

SEE ATTACHMENT B

Form 990-PF (2021)

Part 1

Supplementary Information (continued)

3

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

Recipient (Name and address (home or business))	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
a Paid during the year DAVID HENIG UTRECHT UNIVERSITY / SJOERD GROENMAN BUILDING UTRECHT 3584 CH NL	NONE	I	DEADLY ENVIRONMENTS: LIVING AMONG EXPOSITIVE WAR REMNANTS IN FORMER YUGOSLAVIA	5,505
LAIÑE MUNIR PO BOX 2259 KIGALI 00000 RW	NONE	I	VALUABLE RESOURCES: WOMEN, CONFLICT, AND MODERN MINING IN RWANDA	21,980
BENJAMIN HOY 724 ARTS BUILDING UNIVERSITY OF SASKATCHEWAN SK S7N 5A5 SASKATOON S7N0Z1 CA	NONE	I	DOMINATING A CONTINENT: VIOLENCE, RETRIBUTION, AND FORCIBLE CONFINEMENT IN NORTH AMERICA	32,296
SMADAR BEN-NATAN 416 E ROY ST SEATTLE,WA 98102	NONE	I	THE CARCERAL STATE IN CONFLICT: BETWEEN RECONCILIATION AND RADICALIZATION	39,320
DORIAN JURIC 248 RUE DU VIEUX-PORT GATINEAU J8P7X8 CA	NONE	I	TWAS ALWAYS KNOWN AS THE BLOODY FRONTIER: RUMOURS, MEMORIES, AND BOSNIAN IDENTITY IN THE MIGRANT CRISIS	31,841
KATHERINE BRUCE-LOCKHART 200 UNIVERSITY AVENUE WEST WATERLOO N2L3G1 CA	NONE	I	UNDERSTANDING VIOLENCE AND INCARCERATION IN AFRICA: EVIDENCE FROM BRITISH COLONIES AND POSTCOLONIAL STATES	22,556
GENA KLOPPE-SANTAMARIA 737 W BROMPTON AVENUE APT 2C CHICAGO,IL 60657	NONE	I	IN THE NAME OF CHRIST: RELIGIOUS VIOLENCE AND ITS LEGITIMACY IN MEXICO (1920-2020)	16,520
Yael ZEIRA 4831 HYDE ROAD MANLIUS,NY 13104	NONE	I	THE ETHNICIZATION OF CONFLICT: A SOCIAL MEDIA ANALYSIS	39,825
JEREMY SPEIGHT PO BOX 756420 FAIRBANKS,AK 997756420	NONE	I	EX-REBEL AUTHORITY IN POST-CONFLICT POLITICS: EVIDENCE FROM CTE DIVOIRE	35,000
ERIC MIN 3254 BÜNCHER HALL LOS ANGELES,CA 90095	NONE	I	FIGHTING AND BARGAINING ACROSS TWO CENTURIES OF HOSTILITY IN THE INTERNATIONAL CONFLICT	28,910
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
PAMELA MAINYE COLUMBIA UNIVERSITY INSTITUTE OF AFRICAN STUDIES NEW YORK,NY 10027	NONE	I	SUPER-COPS, EXTRA-JUDICIAL KILLINGS AND POPULAR IMAGINARIES OF POLICING IN FACEBOOK GROUPS, IN NAIROBI.	28,000
URI LIFSHIN BOROCHOV 29 ST TEL AVIV 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
ANKUR DATTA UK 149 A FIRST FLOOR JAWAHARLAL NEHRU UNIVERSITY NEW DELHI 11006 IN	NONE	I	VICTIMHOOD IN A TIME OF CRISIS: MUSLIMS AND THE RIOTS OF 2020 IN NEW DELHI, INDIA	9,274
DANIEL VELOSO HIRATA RUA CARDOSO JUNIOR RIO DE JANEIRO 22245-000 BR	NONE	I	POLICE SPECIAL OPERATIONS AND ARMED CRIMINAL GROUPS IN RIO DE JANEIRO	30,000
LYNN STEPHEN DEPARTMENT OF ANTHROPOLOGY 1218 UNIVERSITY OF OREGON EUGENE,OR 97403	NONE	I	CAN THE STATE INTERRUPT THE VICIOUS CYCLE OF GENDERED VIOLENCE THAT IT HELPED TO CREATE? EVIDENCE FROM GUATEMALA	21,025
JOHN JAY 524 WEST 59TH STREET NEW YORK,NY 10019	NONE	I	17TH ANNUAL JOHN JAY SYMPOSIUM ON CRIME IN AMERICA 2022	107,502
ADAM GELD 700 PENNSYLVANIA AVE SE WASHINGTON,DC 20020	NONE	I	VIOLENT CRIME WORKING GROUP	30,000
SURER MOHAMED 77 PANTON STREET CAMBRIDGE CB21HL UK	NONE	I	PENBROKE SCHOLAR 2021-2024	78,985
JOSHUA SCHWARTZ 1500 LOCUST STREET PHILADELPHIA,PA 19102	NONE	I	DOVISH REPUTATION THEORY: WHEN FIGHTING TO DEMONSTRATE RESOLVE BACKFIRES	25,000
THOMAS STEVENS 2401 PENNSYLVANIA AVE PHILADELPHIA,PA 19130	NONE	I	A SOLDIERS SOCIALIST REPUBLIC: VETERANS AND REBELS IN THE EARLY SOVIET UNION	25,000
MARIANA CARVALHO 9321 DISCOVERY WAY APT B LA JOLLA,CA 92037	NONE	I	THE CAUSES AND CONSEQUENCES OF POLITICAL ASSASSINATIONS	25,000
FRANCIS ABUGBILLA 13918 SE 158TH ST RENTON,MA 98058	NONE	I	THE IMPACT OF POST-CONFLICT PEACEBUILDING MECHANISMS ON RECONCILIATION IN AFRICA: A CASE STUDY OF CTE DIVOIRE	25,000
ROYA TALIBOVA 2457 OAK VALLEY DRIVE APT 103 ANN ARBOR,MI 48103	NONE	I	WHY FIGHT? THE CAUSES AND CONSEQUENCES OF JOINING AN AUTOCRATS ARMY	20,000
JAMES AUSTIN 52 MERRY WAY CAMDEN,SC 29020	NONE	I	PROJECTING FUTURE CRIME RATES AN UPDATE OF THE NATIONAL AND STATE PROJECTIONS WITH AN ADDITIONAL APPLICATION TO LOCAL JURISDICTIONS	60,000
GREG BERMAN 50 ST MARKS AVEBUE BROOKLYN,NY 11217	NONE	I	AT THE CROSSROADS	40,969
RODNEY BRUNSON 77 EXETER STREET APT 2305 BOSTON,MA 02116	NONE	I	WHO GOT THE CAMERA? BRINGING RACE AND POLICE KILLINGS INTO FOCUS	4,000
BENJAMIN GLAHN 1203 K STREET NW WASHINGTON,DC 02005	NONE	I	SALZBURG GLOBAL SEMINAR 2021	50,000
PHILANTHROPY NY 320 E 43RD ST NEW YORK NY 10017		PC	GENERAL SUPPORT	3,150
THE SOLOMON R GUGGENHEIM MUSEUM 1071 FIFTH AVENUE NEW YORK,NY 10128		PC	GENERAL SUPPORT	15,000
COLUMBIA UNIVERSITY 622 WEST 113TH STREET NEW YORK,NY 10025		PC	GENERAL SUPPORT	2,500
FRALIN ART MUSEUM PO BOX 400119 CHARLOTTESVILLE,VA 22904		PC	MATCHING GIFT PROGRAM	600
MILLER CENTER FOUNDATION PO BOX 37963 BOONE,IA 50037		PC	MATCHING GIFT PROGRAM	400
MARTHA'S VINEYARD HOSPITAL PO BOX 1477 OAK BLUFFS,MA 02557		PC	MATCHING GIFT PROGRAM	1,000
JUPITER ISLAND MEDICAL CLINIC 100 ESTRADA SQUARE HOBE SOUND,FL 33455		PC	MATCHING GIFT PROGRAM	1,000
JEFFERSON SCHOLARS FOUNDATION 112 CLARKE CT CHARLOTTESVILLE,VA 22903		PC	MATCHING GIFT PROGRAM	1,000
CHRIST MEMORIAL CHURCH PO BOX 582 HOBE SOUND,FL 33455		PC	MATCHING GIFT PROGRAM	6,000
TUNNEL TO TOWERS 2361 HYLAN BLVD STATEN ISLAND,NY 10306		PC	MATCHING GIFT PROGRAM	250
LITTLE SHELTER WARNER ROAD HUNTINGTON,NY 11743		PC	MATCHING GIFT PROGRAM	50
EAST NORTHPORT FIRE ONE NINTH AVENUE EAST NORTHPORT,NY 11731		PC	MATCHING GIFT PROGRAM	200
ST FRANCIS OF ASSISI CLAYPITTS RD GREENLAWN,NY 11740		PC	MATCHING GIFT PROGRAM	1,140
SOUTH ROYALTON SENIOR CENTER PO BOX 344 4266 VT RTE 14 ROYALTON,VT 05068		PC	MATCHING GIFT PROGRAM	50
BALE PO BOX 211 SOUTH ROYALTON,VT 05068		PC	MATCHING GIFT PROGRAM	50
AMERICAN INDIAN COLLEGE FUND 8333 GREENWOOD BLVD DENVER,CO 80221		PC	MATCHING GIFT PROGRAM	100
LISTEN COMMUNITY SVS 60 HANOVER STREET LEBANON,NH 03766		PC	MATCHING GIFT PROGRAM	200
REVELS NORTH PO BOX 415 HANOVER,NH 03755		PC	MATCHING GIFT PROGRAM	100
VERMONT ARTS COUNCIL 136 STATE STREET MONTPELIER,VT 05633		PC	MATCHING GIFT PROGRAM	2,760
VITAL COMMUNITIES 195 NORTH MAIN STREET WHITE RIVER JUNCTION,VT 05001		PC	MATCHING GIFT PROGRAM	100
ALLIANCE FOR THE VISUAL ARTS 11 BANK STREET LEBANON,NH 03766		PC	MATCHING GIFT PROGRAM	30
JAG PRODUCTIONS PO BOX 354 WHITE RIVER JUNCTION,VT 05001		PC	MATCHING GIFT PROGRAM	100
HARTFORD DISMAS HOUSE 1673 MAPLE STREET HARTFORD,VT 05047		PC	MATCHING GIFT PROGRAM	50
REVELS 80 MT AUBURN STREET WATERTOWN,MA 02472		PC	MATCHING GIFT PROGRAM	200
NARROWS CENTER FOR THE ARTS 16 ANAWAN STREET FALL RIVER,MA 02721		PC	MATCHING GIFT PROGRAM	200
CATAMOUNT ARTS 115 EASTERN AVENUE PO BOX 324 ST JOHNSBURY,VT 05819		PC	MATCHING GIFT PROGRAM	1,300
GREENPEACE 702 H STREET NW SUITE 300 WASHINGTON,DC 20001		PC	MATCHING GIFT PROGRAM	200
VERMONT FOOD BANK 33 PARKER ROAD BARRE,VT 05641		PC	MATCHING GIFT PROGRAM	880
SCA PO BOX 550 CHARLESTOWN,NH 03603		PC	MATCHING GIFT PROGRAM	200
WESTPORT RIVER WATERSHED 1151 MAIN ROAD WESTPORT,MA 02790		PC	MATCHING GIFT PROGRAM	100
WINTER CNETER FOR INDIGENOUS PEOPLE PO BOX 328 HANOVER,NH 03755		PC	MATCHING GIFT PROGRAM	100
WHITE RIVER PARTNERSHIP PO BOX 705 S ROYALTON,VT 05068		PC	MATCHING GIFT PROGRAM	50
RURAL VERMONT 46 EAST STATE STREET MONTPELIER,VT 05602		PC	MATCHING GIFT PROGRAM	60
CDSS 116 PLEASANT STREET SUITE 345 EAST HAMPTON,MA 01207		PC	MATCHING GIFT PROGRAM	100
VERMONT PUBLIC INTEREST RESEARCH GROUP 141 MAIN STREET SUITE 6 MONTPELIER,VT 05601		PC	MATCHING GIFT PROGRAM	50
ROYALTON COMMUNITY RADIO PO BOX 281 SOUTH ROYALTON,VT 05068		PC	MATCHING GIFT PROGRAM	50
UPPER VALLEY HAVEN 713 HARTFORD AVENUE WHITE RIVER JUNCTION,VT 05001		PC	MATCHING GIFT PROGRAM	300
VERMONT PBS 10 EAST ALLEN STREET SUITE 202 WINOOSKI,VT 05404		PC	MATCHING GIFT PROGRAM	220
SHARON HEALTH INITIATIVE PO BOX 42 SHARON,VT 05065		PC	MATCHING GIFT PROGRAM	200
HIGH SPIRIT COMMUNITY FARM 1770 MASSACHUSETTS AVENUE SUITE 01 CAMBRIDGE,MA 02140		PC	MATCHING GIFT PROGRAM	1,200
MARTHA'S VINEYARD MUSEUM 151 LAGOON POND ROAD VINEYARD HAVEN,MA 02568		PC	MATCHING GIFT PROGRAM	1,800
KIEVE WAVUS PO BOX 169 NOBLEBORO,ME 04555		PC	MATCHING GIFT PROGRAM	500
ST GEORGE'S SCHOOL PO BOX 1910 NEWPORT,RI 02840		PC	MATCHING GIFT PROGRAM	3,600
GIBBS MUSEUM 135 MEETING STREET CHARLESTON,SC 29401		PC	MATCHING GIFT PROGRAM	2,000
LORD BERKLEY TRUST 136 E RAILROAD AVE MONCKS CORNER,SC 29461		PC	MATCHING GIFT PROGRAM	1,500
FRIENDS SEMINARY 222 EAST 16TH STREET NEW YORK,NY 10003		PC	MATCHING GIFT PROGRAM	300
FUTURE GENERATIONS 390 ROAD LESS TRAVELED FRANKLIN,WV 26807		PC	MATCHING GIFT PROGRAM	200
CITYMEALS ON WHEELS 355 LEXINGTON AVENUE NEW YORK,NY 10017		PC	MATCHING GIFT PROGRAM	500
BATES COLLEGE 2 ANDREWS RD LEWISTON,ME 04240		PC	MATCHING GIFT PROGRAM	200
FAIRBANKS MUSEUM 1302 MAIN STREET ST JOHNSBURY,VT 05819		PC	MATCHING GIFT PROGRAM	1,000
ST JOHNSBURY ATHENAEUM 1171 MAIN STREET ST JOHNSBURY,VT 05820		PC	MATCHING GIFT PROGRAM	1,934
AMERICAN HEART ASSOC GIFT PROCESSING CENTER PO BOX 78851 PHEONIX,AZ 85062		PC	MATCHING GIFT PROGRAM	50
GARRISON FOREST SCHOOL 300 GARRISON FOREST ROAD OWINGS MILLS,MD 21117		PC	MATCHING GIFT PROGRAM	3,100
PRINCETON DAY SCHOOL PRINCETON PRINCETON,NJ 08540		PC	MATCHING GIFT PROGRAM	500
ANSWER RUTGERS UNIV 41 GORDON RD STE C PISCATAWAY,NJ 08854		PC	MATCHING GIFT PROGRAM	200
PPCGNNJU 437 EAST STATE STREET TRENTON,NJ 08608		PC	MATCHING GIFT PROGRAM	3,500
SUFFIELD ACADEMY 185 N MAIN STREET SUFFIELD,CT 06078		PC	MATCHING GIFT PROGRAM	1,000
PETEE GREENE 9 MERCER STREET PRINCETON,NJ 08540		PC	MATCHING GIFT PROGRAM	500
C-CHANGE CONSERVATIONS PO BOX 1206 PRINCETON,NJ 08542		PC	MATCHING GIFT PROGRAM	200
URBAN HOPE PO BOX 23171 RICHMOND,VA 23223		PC	MATCHING GIFT PROGRAM	100
HOME FRONT 1880 PRINCETON AVENUE LAWRENCEVILLE,NJ 08648		PC	MATCHING GIFT PROGRAM	100
TRENTON CHILDREN'S CHORUS PO BOX 7220 EWING,NJ 08628		PC	MATCHING GIFT PROGRAM	200
COMMUNITY HARVEST OF VT 146 LORD ROAD BERLIN,VT 05602		PC	MATCHING GIFT PROGRAM	100
BOYS & GIRLS CLUB OF HARLEM 521 W 145TH STREET NEW YORK,NY 10031		PC	MATCHING GIFT PROGRAM	200
WNYC 160 VARICK STREET NEW YORK,NY 10013		PC	MATCHING GIFT PROGRAM	200
NATIONAL CATHEDRAL SCHOOL 3612 WOODLEY ROAD WASHINGTON,DC 20016		PC	MATCHING GIFT PROGRAM	200
MOLIERE IN THE PARK 295 SAINT JOHNS PLACE 3A BROOKLYN,NY 11238		PC	MATCHING GIFT PROGRAM	800
ST HILDA'S SCHOOL 619 WEST 144TH STREET NEW YORK,NY 100257995		PC	MATCHING GIFT PROGRAM	208
CENTURY ASSOC ARCHIVES FOUNDATION 7 WEST 43RD STREET NEW YORK,NY 10036		PC	MATCHING GIFT PROGRAM	200
GEORGETOWN UNIVERSITY OFFICE OF GIFT ADMIN WASHINGTON,DC 20073		PC	MATCHING GIFT PROGRAM	700
HARVARD DIVINITY SCHOOL 124 MT AUBURN STREET CAMBRIDGE,MA 02138		PC	MATCHING GIFT PROGRAM	700
NORTHWESTERN UNIVERSITY 1201 DAVIS STREET EVANSTON,IL 60208		PC	MATCHING GIFT PROGRAM	700
WELLESLEY COLLEGE 106 CENTRAL STREET WELLESLEY,MA 02481		PC	MATCHING GIFT PROGRAM	700
MIDDLESEX COUNTY COLLEGE FOUNDATION 2600 WOODBRIDGE AVENUE PO BOX 3050 EDISON,NJ 088183050		PC	MATCHING GIFT PROGRAM	1,000
FRIENDS OF MORRILL HOMESTEAD PO BOX 98 STRAFFORD,VT 05072		PC	MATCHING GIFT PROGRAM	50
READING PARTNERS 180 GRAND AVENUE SUITE 800 OAKLAND,CA 94612		PC	MATCHING GIFT PROGRAM	208
NYKR 156 WEST 56TH STREET 3RD FLOOR NEW YORK,NY 10019		PC	MATCHING GIFT PROGRAM	200
TSC ALLIANCE 8737 COLESVILLE ROAD SUITE 400 ESPERO SPRING,MD 20910		PC	MATCHING GIFT PROGRAM	207
SPICOCAL HIGH SCHOOL 1200 NORTH QUAKER LANE ALEXANDRIA,VA 22302		PC	MATCHING GIFT PROGRAM	1,000
COUNCIL ON CRIMINAL JUSTICE 2612 BOOKWOOD DR NE ATLANTA,GA 30305		PC	MATCHING GIFT PROGRAM	1,041
CARNEGIE COUNCIL FOR ETHICS 170 EAST 64TH STREET NEW YORK,NY 10065		PC	MATCHING GIFT PROGRAM	200
CHRIST & ST STEPHEN 120 W 69TH STREET NEW YORK,NY 10023		PC	MATCHING GIFT PROGRAM	2,400
Total			3a	964,642
b Approved for future payment MOHAMMED IBRAHIM 9 MARRIOTT ROAD LEICESTER LE26NS UK	NONE	I	TARGETED RECRUITMENT: EXPLAINING WHY CERTAIN CLANS JOIN AND ESCHEW AL-SHABAAB IN SOMALIA	39,510
ERIC TENKORANG 230 ELIZABETH AVE DEPARTMENT OF SOCIOLOGY MEMORIAL UNIVERSITY ST JOHNS A1C5S7 CA	NONE	I	KINSHIP, LINEAGE NORMS AND INTIMATE PARTNER VIOLENCE AGAINST WOMEN IN GHANA	45,000
MARGHERITA BELGIOIOSO SANTA CROCE 2319 VENEZIA 30135 IT	NONE	I	REBEL TACTICS, LOCAL PUBLIC SUPPORT AND THE UPCOMING PHASE OF THE PEACE TALKS IN SOUTHERN THAILAND	28,850
EDUARDO MONCADA 3009 BROADWAY - DEPT OF POLITICAL SCIENCE NEW YORK,NY 10027	NONE	I	STATE RESPONSES TO NON-STATE SECURITY PROVISION: A COMPARATIVE URBAN STUDY IN THE AMERICAS	36,550
RENARD SEXTON 1634 PONCE DE LEON AVE NE UNIT 402 ATLANTA,GA 303071630	NONE	I	GROUND-TRUTHING FISHING CONFLICTS IN THE SOUTH CHINA SEA	14,855
STEPHEN DAVIS 511 WOODBINE DR LEXINGTON,KY 40503	NONE	I	THE BITTER ALOE PROJECT: BUILDING A PROSOPOGRAPHIC UNDERSTANDING OF APARTHEID ERA VIOLENCE THROUGH ADVANCED MACHINE LEARNING	45,000
LAURA BLUME 253 CALIENTE ST RENO,NV 89509	NONE	I	CATALOGUING MURDER: TRACKING VIOLENCE AGAINST PUBLIC FIGURES IN CENTRAL AMERICA	22,914
ABBY CORDOVA 2139 JENKINS NANOVIC HALLS NOTRE DAME,IN 46656	NONE	I	VIOLENCE AGAINST WOMEN AND POLITICAL ENGAGEMENT IN MULTI-VIOLENCE CONTEXTS: EVIDENCE FROM EL SALVADOR	20,876
ANDREW PAPACHRISTOS DEPT OF SOCIOLOGY EVANSTON,IL 602080812	NONE	I	MURDER BY STRUCTURE: HOW STREET GANGS BUILT THE GREAT AMERICAN CITY	45,000
ORE KOREN 4935 E RIDGEWOOD DR BLOOMINGTON,IN 47401	NONE	I	ZOOONOTIC DISEASE OUTBREAKS AND POLITICAL CONFLICT IN AFRICA	43,443
AREEJ SABBAGH-KHOURY DEPARTMENT OF SOCIOLOGY AND ANTHROPOLOGY JERUSALEM 91905 IS	NONE	I	BETWEEN THE DEVIL AND THE DEEP BLUE SEA: DISINTEGRATION AND INTRACOMMUNAL VIOLENCE AMONG THE PALESTINIAN CITIZENS IN ISRAEL	45,000
RAUL SANCHEZ DE LA SIERRA 1307 E 60TH ST OFFICE 200 CHICAGO,IL 60637	NONE	I	MORALITY, VIOLENCE, AND OPPORTUNISM: INSIDE THE NDUMA DEFENSE OF CONGO MILITIA	45,000
BENJAMIN HOY 724 ARTS BUILDING UNIVERSITY OF SASKATCHEWAN 9 CAMPUS DRIVE SASKATO S7N0Z1 CA	NONE	I	DOMINATING A CONTINENT: VIOLENCE, RETRIBUTION, AND FORCIBLE CONFINEMENT IN NORTH AMERICA	30,440
SMADAR BEN-NATAN 416 E ROY ST SEATTLE,WA 98102	NONE	I	THE CARCERAL STATE IN CONFLICT: BETWEEN RECONCILIATION AND RADICALIZATION	30,000
Yael ZEIRA 4831 HYDE ROAD MANLIUS,NY 13104	NONE	I	THE ETHNICIZATION OF CONFLICT: A SOCIAL MEDIA ANALYSIS	40,000
HANNAH BARON 204 CERVANTES COURT IRVINE,CA 92617	NONE	I	HUMAN RIGHTS BACKLASH FROM BELOW: CRIMINAL VIOLENCE, JUSTICE ATTITUDES & THE RULE OF LAW IN MEXICO	25,000
JIWON KIM 730 SERRA ST STANFORD,CA 94305	NONE	I	ETHNIC CONFLICT AND NON-ETHNIC VOTING: STATE CO-OPTION OF ETHNIC MINORITIES IN MYANMAR AND BEYOND	25,000
MADELEINE HAMLIN 50 MEADOW STREET CLINTON,NY 13323	NONE	I	POLICING THE PROJECTS: CRIME, CARCERALITY, AND CHICAGO PUBLIC HOUSING	25,000
LOTTE HOUWINK TEN CATE 316 JEFFERSON AVE BROOKLYN,NY 11216	NONE	I	RAVAGED INTERIORS: A MODERN HISTORY OF INTIMATE VIOLENCE, 1970-2000	25,000
GREG BERMAN C/O HOPEWELL FUND 1828 L STREET NW WASHINGTON,DC 20036	NONE	I	VITAL CITY	24,840
Total			3b	657,272

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions.)
		(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue:						
a _____						
b _____						
c _____						
d _____						
e _____						
f _____						
g Fees and contracts from government agencies						
2 Membership dues and assessments						
3 Interest on savings and temporary cash investments				14	66,145	
4 Dividends and interest from securities						
5 Net rental income or (loss) from real estate:						
a Debt-financed property.						
b Not debt-financed property.						
6 Net rental income or (loss) from personal property						
7 Other investment income						
8 Gain or (loss) from sales of assets other than inventory		900001	2,103	18	5,592,072	
9 Net income or (loss) from special events:						
10 Gross profit or (loss) from sales of inventory						
11 Other revenue:						
a <u>UBIT INCOME PER K1S</u>		900001	-7,324			
b <u>OTHER INCOME</u>				18	26	
c _____						
d _____						
e _____						
12 Subtotal. Add columns (b), (d), and (e) . .			-5,221		8,824,565	
13 Total. Add line 12, columns (b), (d), and (e).				13		8,819,344

(See worksheet in line 13 instructions to verify calculations.)

[illegible]

Part XVI

Yes

No

1a(1)

1a(2)

No

1b(1)

1b(2)

1b(3)

1b(4)

1b(5)

1b(6)

1c

ket va

[illegible]

☐ Yes ☒ No

b If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship

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

Title

P00535099

Firm's EIN ► 87-3707167

Phone no.
(212) 503-8800

Additional Data

Return to Form

Software ID:

Software Version:

Form 990PF - Special Condition Description:

Special Condition Description

TY 2021 IRS 990 e-File Render

Name: THE HARRY FRANK GUGGENHEIM FOUNDATION

EIN: 13-6043471

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MARKS PANETH LLP	37,717	9,335	9,429	28,288

TY 2021 IRS 990 e-File Render

Name: THE HARRY FRANK GUGGENHEIM FOUNDATION

EIN: 13-6043471

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

10,025,873

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

10,025,873

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

0

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

0

TY 2021 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	171,110	171,110
AKO	FMV	3,062,939	3,062,939
ALTIMETER	FMV	4,053,979	4,053,979
ASCENT INDIA	FMV	119,838	119,838
CAR VAL	FMV	5,942	5,942
CHILDREN'S	FMV	5,023,747	5,023,747
DE SHAW	FMV	5,271,981	5,271,981
HC CAPITAL INTERNATIONAL	FMV	8,035,157	8,035,157
HC CAPITAL LARGE CAP GROWTH	FMV	16,524,810	16,524,810
HIRTLE CAPITAL EMERGING MARKETS	FMV	3,434,236	3,434,236
JPM POOLED COR FN CL B LLC 15%	FMV	253	253
JPM POOLED VC CL B LLC 64%	FMV	7,377	7,377
LEGACY	FMV	738,744	738,744
LEGACY VI	FMV	2,797,885	2,797,885
LEGACY VII	FMV	3,794,799	3,794,799
LEGACY VIII	FMV	2,423,126	2,423,126
NEUHAUS	FMV	15,441	15,441
NEWSTONE	FMV	171,212	171,212
SILVERLAKE	FMV	82,055	82,055
TACONIC	FMV	837,729	837,729
TWO SIGMA	FMV	1,655,129	1,655,129
LEGACY VENTURE IX	FMV	1,477,241	1,477,241
SILVERLAKE V	FMV	1,068,216	1,068,216
HC SELECT EQUITY	FMV	4,657,175	4,657,175
HC PE FUND XII	FMV	2,479,323	2,479,323
HC PE FUND 2020	FMV	773,986	773,986
HC ALTERNATIVE CREDIT	FMV	1,876,726	1,876,726

TY 2021 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	11,169	2,792	2,792	8,377
EWENSTEIN & ROTH LLP	77,503	19,376	19,376	58,127
FRAGOMEN, DEL REY, BERNSEN & LOEWY, LLP	13,628	3,407	3,407	10,221
HARRIS BEACH PLC	6,487	1,622	1,622	4,865
LITTLER MENDELSON, P.C.	14,853	3,404	3,713	11,140

TY 2021 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	176,908	176,908

TY 2021 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	19,702	2,955	2,955	16,747
SERVICE CONTRACTS	14,443	2,166	2,166	12,277
OFFICE EXPENSE	34,748	4,729	4,729	30,019
MISCELLANEOUS	973	10	10	963
COMPUTER SOFTWARE	10,812	1,622	1,622	9,190
OUTSIDE FINANCIAL CONFERENCES	2,335	3,578	3,578	-1,243
REPAIRS & MAINTENANCE	29,252	4,388	4,388	24,864
PAYROLL FEES	4,043	606	606	3,437
DUES AND SUBSCRIPTIONS	20,999	4,997	5,250	15,749
XMAS BONUS NON EMPLOYEE	2,650	0	0	2,650

TY 2021 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	2,434,232	76,584	76,584
UBIT INCOME PER K1S	-7,324		-7,324
OTHER INCOME	26	26	26

TY 2021 IRS 990 e-File Render

Name: THE HARRY FRANK GUGGENHEIM FOUNDATION

EIN: 13-6043471

Description	Amount
UNREALIZED APRECIATION IN MARKET VALUE OF INVESTMENTS	5,101,994

TY 2021 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	278,474	274,317	278,693	0
MURPHY, BURNHAM & BUTTRICK ARCHITECTS	43,011	0	0	43,011
OTHER PROFESSIONAL FEES	108,773	1,500	1,500	107,273
LIZA HOGAN	77,660	0	0	77,660
CONWAY	86,089	89,089	89,089	0
BNY FEES	61,834	61,834	61,834	0
SILVERLAKE	9,678	9,678	9,678	0

TY 2021 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	26,481	0	0	0
FEDERAL EXCISE TAX	530	0	0	0
NYC ANNUAL FILING FEE	1,500	0	0	1,500
PAYROLL TAXES	47,403	4,785	4,785	42,618