

990

Return of Organization Exempt From Income Tax

OMB No. 1545-

0047 2021

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundation): Do not enter social security numbers on this form as it may be made public.

Go to www.irs.gov/Form990 for instructions and the latest information.

Open to Public Inspection



Department of the Treasury Internal Revenue Service

A For the 2021 calendar year, or tax year beginning 10-01-2021, and ending 09-30-2022

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

C Name of organization SMITHSONIAN INSTITUTION, Doing business as, Number and street (or P.O. box if mail is not delivered to street address) Room/suite, City or town, state or province, country, and ZIP or foreign postal code

D Employer identification number 53-0206027, E Telephone number (202) 633-1000, G Gross receipts \$ 2,364,258,676

F Name and address of principal officer: LONNIE G BUNCH III, 1000 JEFFERSON DRIVE SW, WASHINGTON, DC 20560

H(a) Is this a group return for subordinates? Yes No, H(b) Are all subordinates included? Yes No, H(c) Group exemption number

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

J Website: WWW.SI.EDU

K Form of organization: Corporation, Trust, Association, Other

L Year of formation: 1846, M State of legal domicile:

Part I Summary

Activities & Governance

Revenue

Expenses

Net Assets or Fund Balances

Table with 3 columns: Description, Prior Year, Current Year. Rows include mission statement, membership, revenue, expenses, and net assets.

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete.

Sign Here

Signature of officer: RONALD CORTEZ UNDER SEC FOR ADMINISTRATION, Date: 2023-08-09

Paid Preparer Use Only

Print/Type preparer's name, Preparer's signature, Date 2023-08-09, Firm's name KPMG LLP, Firm's address 8350 BROAD STREET SUITE 900, MCLEAN, VA 22102

May the IRS discuss this return with the preparer shown above? (see instructions) Yes No

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III Yes No

1 Briefly describe the organization's mission:

"INCREASE AND DIFFUSION OF KNOWLEDGE" IS THE MISSION SET FORTH BY JAMES SMITHSON. THE SMITHSONIAN ENDEAVORS TO SHAPE THE FUTURE BY PRESERVING OUR HERITAGE, DISCOVERING NEW KNOWLEDGE, AND SHARING OUR RESOURCES WITH THE WORLD.

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

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

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

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

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

4a (Code:) (Expenses \$ **657,049,765** including grants of \$ **3,625,341**) (Revenue \$ **36,922,686**)
EDUCATION, PUBLIC PROGRAMS AND EXHIBITIONS (SEE SCHEDULE O)

4b (Code:) (Expenses \$ **424,278,020** including grants of \$ **13,939,830**) (Revenue \$ **46,765,124**)
RESEARCH AND COLLECTIONS (SEE SCHEDULE O)

4c (Code:) (Expenses \$ **95,410,232** including grants of \$) (Revenue \$ **40,194,830**)
MEMBERSHIP (SEE SCHEDULE O)

4d Other program services (Describe in Schedule O.)

(Expenses \$ including grants of \$) (Revenue \$)

4e **Total program service expenses** **1,176,738,017**

Part IV Checklist of Required Schedules

Table with 3 columns: Question ID, Question Text, and Yes/No columns. Rows include questions 1 through 21, with sub-questions 11a-e and 14a-b. Each row has a corresponding 'Yes' and 'No' checkbox column.

Part IV Checklist of Required Schedules (continued)

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

Part V Statements Regarding Other IRS Filings and Tax Compliance

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

		Yes	No	
1a	Enter the number reported in box 3 of Form 1096. Enter -0- if not applicable	1a	3,150	
b	Enter the number of Forms W-2G included on line 1a. Enter -0- if not applicable	1b	0	
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c		

Part V Statements Regarding Other IRS Filings and Tax Compliance (continued)

Table with 17 main sections (2a-17) and sub-questions (a-e). Includes columns for question numbers, descriptions, and response boxes (Yes/No). Specific values include '6,834' for 2a and 'AM, GB, PM' for 1b2.

Part VI Governance, Management, and Disclosure. For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions. Check if Schedule O contains a response or note to any line in this Part VI

Section A. Governing Body and Management

Table with 3 columns: Question, Yes, No. Rows include: 1a Enter the number of voting members... 1b Enter the number of voting members... 2 Did any officer, director, trustee... 3 Did the organization delegate control... 4 Did the organization make any significant changes... 5 Did the organization become aware... 6 Did the organization have members... 7a Did the organization have members... 7b Are any governance decisions... 8 Did the organization contemporaneously document... 8a The governing body? 8b Each committee... 9 Is there any officer, director, trustee...

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

Table with 3 columns: Question, Yes, No. Rows include: 10a Did the organization have local chapters... 10b If "Yes," did the organization have written policies... 11a Has the organization provided a complete copy... 11b Describe on Schedule O the process... 12a Did the organization have a written conflict of interest policy... 12b Were officers, directors, or trustees... 12c Did the organization regularly and consistently monitor... 13 Did the organization have a written whistleblower policy... 14 Did the organization have a written document retention... 15 Did the process for determining compensation... 15a The organization's CEO... 15b Other officers or key employees... 16a Did the organization invest in, contribute assets to... 16b If "Yes," did the organization follow a written policy...

Section C. Disclosure

- 17 List the states with which a copy of this Form 990 is required to be filed
18 Section 6104 requires an organization to make its Form 1023 (1024 or 1024-A, if applicable), 990, and 990-T (section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.
19 Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.
20 State the name, address, and telephone number of the person who possesses the organization's books and records:
OFFICE OF FINANCE & ACCOUNTING PO BOX 37012 WASHINGTON, DC 200137012 (202) 633-7167

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

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

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

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

• List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.

• List all of the organization's **current** key employees, if any. See the instructions for definition of "key employee."

• List the organization's five **current** highest compensated employees (other than an officer, director, trustee or key employee) who received reportable compensation (box 5 of Form W-2, Form 1099-MISC, and/or box 1 of Form 1099-NEC) of more than \$100,000 from the organization and any related organizations.

• List all of the organization's **former** officers, key employees, or highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.

• List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

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

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

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC/1099-NEC)	(E) Reportable compensation from related organizations (W-2/1099-MISC/1099-NEC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
(1) HONORABLE JOHN G ROBERTS JR REGENT	2.00 0.00	X						0	0	0
(2) HONORABLE KAMALA D HARRIS REGENT	2.00 0.00	X						0	0	0
(3) HONORABLE JOHN BOOZMAN REGENT	2.00 0.00	X						0	0	0
(4) HONORABLE CATHERINE CORTEZ MASTO REGENT	2.00 0.00	X						0	0	0
(5) HONORABLE DAVID MATSUI REGENT	2.00 0.00	X						0	0	0
(6) HONORABLE ADRIAN SMITH REGENT	2.00 0.00	X						0	0	0
(7) HONORABLE BARBARA M BARRETT REGENT	3.00 0.00	X						0	0	0
(8) MR STEVE CASE REGENT	10.00 0.00	X						0	0	0
(9) MR JOHN FAHEY REGENT	3.00 0.00	X						0	0	0
(10) MR ROGER W FERGUSON JR REGENT	3.00 0.00	X						0	0	0
(11) MR MICHEAL GOVAN REGENT	3.00 0.00	X						0	0	0
(12) DR RISA J LAVIZZO-MOUREY REGENT	3.00 0.00	X						0	0	0
(13) MR MICHAEL M LYNTON REGENT	3.00 0.00	X						0	0	0
(14) MS DENISE M O'LEARY REGENT	2.00 0.00	X						0	0	0
(15) MR FRANKLIN D RAINES REGENT	2.00 0.00	X						0	0	0
(16) MR DAVID M RUBENSTEIN REGENT	2.00 0.00	X						0	0	0
(17) HONORABLE PATRICK J LEAHY REGENT	2.00 0.00	X						0	0	0

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

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC/1099-NEC)	(E) Reportable compensation from related organizations (W-2/1099-MISC/1099-NEC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
(18) HONORABLE LUCILLE ROYBAL-ALLARD REGENT	2.00 0.00	X						0	0	0
(19) MR GARY PETERS REGENT	2.00 0.00	X						0	0	0
(20) MR LONNIE G BUNCH III SECRETARY OF THE SMITHSONIAN	50.00 0.00			X				738,754	0	71,686
(21) JUDITH LEONARD GENERAL COUNSEL	50.00 0.00			X				260,381	0	51,983
(22) CATHY HELM INSPECTOR GENERAL	50.00 0.00			X				237,020	0	24,227
(23) MEROE PARK DEPUTY SECRETARY & COO	50.00 0.00			X				528,377	0	45,619
(24) DOUGLAS HALL ACTING UNDER SEC. FOR ADMINISTRATION	50.00 0.00			X				223,026	0	33,672
(25) RONALD CORTEZ UNDER SEC FOR ADMINISTRATION	50.00 0.00			X				116,291	0	168
(26) PORTER WILKINSON CHIEF OF STAFF TO THE REGENTS	50.00 0.00			X				213,911	0	54,160
(27) AMY CHEN CHIEF INVESTMENT OFFICER	50.00 0.00				X			778,762	0	46,288
(28) ROBERT SPILLER ASSISTANT SECRETARY FOR ADVANCEMENT	50.00 0.00				X			396,018	0	82,026
(29) ELLEN STOFAN DIRECTOR, NATL AIR AND SPACE MUSEUM	50.00 0.00				X			334,146	0	79,386
(30) KEVIN GOVER ACTING UNDER SECRETARY FOR MUSEUMS & CULTURE	50.00 0.00				X			385,761	0	72,920
(31) CAROL LEBLANC PRESIDENT, SMITHSONIAN ENTERPRISES	50.00 0.00				X			353,673	0	114,236
(32) JULISSA MARENCO ASST SEC. FOR COMMUNICATIONS AND EXTERNAL AFFAIRS	50.00 0.00				X			262,439	0	60,939
(33) JANICE LAMBERT CHIEF FINANCIAL OFFICER	50.00 0.00				X			228,050	0	38,307
(34) NANCY BECHTOL DIRECTOR, SMITHSONIAN FACILITIES	50.00 0.00				X			199,735	0	29,080
(35) JOHN DAVIS THRU 82721 PROVOST	50.00 0.00					X		559,719	0	54,791
(36) JEFFREY SMITH MANAGING DIRECTOR, OI	50.00 0.00					X		422,679	0	82,698
(37) CHASE ROBINSON DIR SACKLER GALLERY/FREER GALL	50.00 0.00					X		406,933	0	56,588
(38) MELISSA CHIU DIRECTOR, HIRSHHORN MUSEUM & SCULPTURE GARDEN	50.00 0.00					X		406,833	0	78,476
(39) KEVIN YOUNG DIR NATL MUSEUM OF AFRICAN AME	50.00 0.00					X		377,876	0	78,399
(40) MICHAEL MCCARTHY THRU 5521 UNDER SECRETARY FOR ADMINISTRATION	50.00 0.00						X	247,697	0	35,682
(41) CHARLES ALCOCK THRU 123120 DIRECTOR, SMITHSONIAN ASTROPHYS OBSV	50.00 0.00						X	159,286	0	23,636
(42) ROGER BRISSENDEN THRU 31321 ACTING UNDER SEC. FOR SCIENCE & RSRCH	50.00 0.00						X	235,962	0	27,758
(43) DERON BURBA THRU 93018 CHIEF INFORMATION OFFICER	50.00 0.00						X	199,227	0	57,566
(44) ZULLY DORR THRU 093019 DEPUTY ASST SEC. FOR ADVANCEMENT	50.00 0.00						X	214,591	0	53,261
(45) RICHARD KURIN THRU 93019 SR. SCHOLAR & AMBASSADOR-AT-LARGE	50.00 0.00						X	325,706	0	72,105
(46) JOHN LAPIANA THRU 93018 SENIOR ADVISOR	50.00 0.00						X	196,734	0	39,763
(47) ERA MARSHALL THRU 93018 DIRECTOR OF EQUAL EMPLOYMENT	50.00 0.00						X	227,099	0	20,728
(48) DAVID VOYLES THRU 123121 DIR OF PLANNING, MGMT & BUDGET	50.00 0.00						X	195,336	0	19,873
1b Sub-Total										
c Total from continuation sheets to Part VII, Section A										
d Total (add lines 1b and 1c)								9,432,022	0	1,506,021

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **1,775**

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

Section B. Independent Contractors

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

(A) Name and business address	(B) Description of services	(C) Compensation
CLARKSMOOTCONSIGLI A JOINT VENTURE 7500 OLD GEORGETOWN RD BETHESDA, MD 20814	CONSTRUCTION	94,129,726
UNIVERSAL PROTECTION SERVICE LP 1551 N TUSTIN AVE SANTA ANA, CA 927058664	SECURITY	15,447,446
TC PENNSY DRIVE LLC 444 MADISON AVENUE 18TH FLOOR NEW YORK, NY 100226903	REAL ESTATE	11,975,381
100 DISCOVERY PARK DE LLC 116 HUNTINGTON AVE BOSTON, MA 02116	REAL ESTATE	5,355,337
HUANG-CFM JOINT VENTURE 5601N GENERAL WASHINGTON DRIVE ALEXANDRIA, VA 223122403	CONSTRUCTION	4,452,145

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization **2 2 7**

Part VIII Statement of Revenue

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

	(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512 - 514
Contributions, Gifts, Grants, and Other Similar Amounts				
1a Federated campaigns			37,383	
b Membership dues			27,138,375	
c Fundraising events			1,660,964	
d Related organizations			367,114	
e Government grants (contributions)			1,219,807,912	
f All other contributions, gifts, grants, and similar amounts not included above			191,318,431	
g Noncash contributions included in lines 1a - 1f:\$			61,441,835	
h Total. Add lines 1a-1f			1,440,330,179	

Program Service Revenue		Business Code				
			(A)	(B)	(C)	(D)
2a VISITORS/MEMBERS/EMPLO		900099	53,362,216	53,362,216		
b SUBSCRIPTIONS-MAGAZINE		511120	23,835,059	23,835,059		
c TOURS/CLASSES		900099	9,412,406	9,412,406		
d THEATER INCOME		512131	2,888,955	2,888,955		
e TRAVELING EXHIBITIONS		712110	2,766,815	2,766,815		
f All other program service revenue.			230,000	230,000		
g Total. Add lines 2a-2f.			92,495,451			

Other Revenue	3 Investment income (including dividends, interest, and other similar amounts)		15,867,060		307,538	15,559,522
	4 Income from investment of tax-exempt bond proceeds					
	5 Royalties		9,291,560			9,291,560
	6a Gross rents	(i) Real	9,597,650			
	b Less: rental expenses	(ii) Personal				
	6b		3,235,098			
	c Rental income or (loss)		6,362,552			
	6c					
	d Net rental income or (loss)		6,362,552		-679,764	7,042,316
	7a Gross amount from sales of assets other than inventory	(i) Securities	739,163,991	352,889		
	b Less: cost or other basis and sales expenses	(ii) Other		0		
	7b		486,104,140			
	c Gain or (loss)		253,059,851	352,889		
	7c					
	d Net gain or (loss)		253,412,740	352,889		253,059,851
8a Gross income from fundraising events (not including \$ 1,660,964 of contributions reported on line 1c). See Part IV, line 18						
8a		58,785				
b Less: direct expenses		712,279				
8b						
c Net income or (loss) from fundraising events			-653,494		-653,494	
9a Gross income from gaming activities. See Part IV, line 19						
9a						
b Less: direct expenses						
9b						
c Net income or (loss) from gaming activities						
10a Gross sales of inventory, less returns and allowances						
10a		46,292,345				
b Less: cost of goods sold		18,224,113				
10b						
c Net income or (loss) from sales of inventory			28,068,232	27,595,922	472,310	
11a MAG/WEBSITE ADVERTISIN	Business Code	541800	7,733,016	-593,628	8,326,644	
b INTERCOMPANY REVENUE		900099	3,065,160	3,065,160		
c MISCELLANEOUS REVENUE		900099	10,590	10,590		
d All other revenue						
e Total. Add lines 11a-11d			10,808,766			
12 Total revenue. See instructions			1,855,983,046	122,926,384	8,426,728	
					284,299,755	

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

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

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21	353,387	353,387		
2 Grants and other assistance to domestic individuals. See Part IV, line 22	13,632,628	13,632,628		
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16.	3,579,156	3,579,156		
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	8,607,459	3,588,552	4,496,942	521,965
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)	2,352,007	263,719	1,820,436	267,852
7 Other salaries and wages	553,449,659	437,405,196	85,377,712	30,666,751
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	78,821,183	45,293,085	33,214,938	313,160
9 Other employee benefits	65,074,886	58,460,173	3,319,984	3,294,729
10 Payroll taxes	40,144,486	20,758,899	19,205,162	180,425
11 Fees for services (non-employees):				
a Management				
b Legal	521,976	427,496	86,280	8,200
c Accounting	346,662		346,662	
d Lobbying				
e Professional fundraising services. See Part IV, line 17	2,292,446			2,292,446
f Investment management fees	2,463,927		2,463,927	
g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O)	144,924,443	122,703,724	10,577,895	11,642,824
12 Advertising and promotion	3,246,411	2,472,636	60,439	713,336
13 Office expenses	44,251,511	31,341,624	7,713,464	5,196,423
14 Information technology	57,522,508	28,453,972	26,585,437	2,483,099
15 Royalties	233,341	233,341		
16 Occupancy	163,505,064	144,329,673	17,831,471	1,343,920
17 Travel	10,392,574	9,622,215	356,692	413,667
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings	3,498,445	2,690,214	671,010	137,221
20 Interest	7,148,912	7,148,912		
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	180,483,163	150,252,233	29,960,205	270,725
23 Insurance	1,643,275	471,963	1,134,873	36,439
24 Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a PROGRAM PRODUCTION	52,511,441	47,272,898	207,885	5,030,658
b RESEARCH/SUBCONTRACT	30,615,780	30,581,001	33,101	1,678
c EQUIPMENT	16,119,804	14,845,050	1,373,455	-98,701
d				
e All other expenses	-90,097	556,270	-667,665	21,298
25 Total functional expenses. Add lines 1 through 24e	1,487,646,437	1,176,738,017	246,170,305	64,738,115
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720).				

Part X Balance Sheet

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

		(A)		(B)
		Beginning of year		End of year
Assets	1 Cash-non-interest-bearing	844,451,216	1	845,280,151
	2 Savings and temporary cash investments	63,712,426	2	158,647,491
	3 Pledges and grants receivable, net	384,207,924	3	344,702,780
	4 Accounts receivable, net	14,015,641	4	15,383,181
	5 Loans and other receivables from any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons		5	
	6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B)		6	
	7 Notes and loans receivable, net		7	
	8 Inventories for sale or use	10,864,725	8	16,504,520
	9 Prepaid expenses and deferred charges	5,422,180	9	7,863,619
	10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a 5,777,784,736		
	b Less: accumulated depreciation	10b 2,941,519,270	2,768,299,157	10c 2,836,265,466
	11 Investments—publicly traded securities	14,017,884	11	202,975
	12 Investments—other securities. See Part IV, line 11	2,834,308,164	12	2,626,748,576
	13 Investments—program-related. See Part IV, line 11		13	
	14 Intangible assets	110,422,301	14	91,375,098
	15 Other assets. See Part IV, line 11	9,441,268	15	10,086,159
16 Total assets: Add lines 1 through 15 (must equal line 33)	7,059,162,886	16	6,953,060,016	
Liabilities	17 Accounts payable and accrued expenses	272,879,396	17	277,383,954
	18 Grants payable		18	
	19 Deferred revenue	730,285,978	19	744,897,810
	20 Tax-exempt bond liabilities	92,743,241	20	90,814,091
	21 Escrow or custodial account liability. Complete Part IV of Schedule D		21	
	22 Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons		22	
	23 Secured mortgages and notes payable to unrelated third parties	419,570,713	23	383,570,854
	24 Unsecured notes and loans payable to unrelated third parties		24	
	25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17 - 24). Complete Part X of Schedule D	47,720,399	25	46,222,353
	26 Total liabilities. Add lines 17 through 25	1,563,199,727	26	1,542,889,062
Net Assets or Fund Balances	Organizations that follow FASB ASC 958, check here <input checked="" type="checkbox"/> and complete lines 27, 28, 32, and 33.			
	27 Net assets without donor restrictions	2,805,038,537	27	2,986,871,964
	28 Net assets with donor restrictions	2,690,924,622	28	2,423,298,990
	Organizations that do not follow FASB ASC 958, check here <input type="checkbox"/> and complete lines 29 through 33.			
	29 Capital stock or trust principal, or current funds		29	
	30 Paid-in or capital surplus, or land, building or equipment fund		30	
	31 Retained earnings, endowment, accumulated income, or other funds		31	
	32 Total net assets or fund balances	5,495,963,159	32	5,410,170,954
	33 Total liabilities and net assets/fund balances	7,059,162,886	33	6,953,060,016

Part XI Reconciliation of Net Assets

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

1	Total revenue (must equal Part VIII, column (A), line 12)	1	1,855,983,046
2	Total expenses (must equal Part IX, column (A), line 25)	2	1,487,646,437
3	Revenue less expenses. Subtract line 2 from line 1	3	368,336,609
4	Net assets or fund balances at beginning of year (must equal Part X, line 32, column (A))	4	5,495,963,159
5	Net unrealized gains (losses) on investments	5	-454,019,132
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain in Schedule O)	9	-109,682
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, column (A))	10	5,410,170,954

Part XII Financial Statements and Reporting

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

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

Additional Data

Return to Form

Software ID:

Software Version:

Form 990, Special Condition Description:

Special Condition Description

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ **Attach to Form 990 or Form 990-EZ.**

▶ **Go to www.irs.gov/Form990 for instructions and the latest information.**

Name of the organization
SMITHSONIAN INSTITUTION

Employer identification number
53-0206027

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

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

- 1 A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
- 2 A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990).)
- 3 A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
- 4 A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state:

- 5 An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)
- 6 A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
- 7 An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 8 A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 9 An agricultural research organization described in **170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land grant college of agriculture. See instructions. Enter the name, city, and state of the college or university:
- 10 An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)
- 11 An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**
- 12 An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2).** See **section 509(a)(3).** Check the box on lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
 - a **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
 - b **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
 - c **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
 - d **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
 - e Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.
 - f Enter the number of supported organizations _____
 - g Provide the following information about the supported organization(s).

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

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

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2017	(b) 2018	(c) 2019	(d) 2020	(e) 2021	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grant.")	1,192,108,664	1,292,933,360	1,308,610,079	1,527,783,787	1,440,330,179	6,761,766,069
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge.. . . .						
4 Total. Add lines 1 through 3	1,192,108,664	1,292,933,360	1,308,610,079	1,527,783,787	1,440,330,179	6,761,766,069
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						61,372,741
6 Public support. Subtract line 5 from line 4.						6,700,393,328

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2017	(b) 2018	(c) 2019	(d) 2020	(e) 2021	(f) Total
7 Amounts from line 4.	1,192,108,664	1,292,933,360	1,308,610,079	1,527,783,787	1,440,330,179	6,761,766,069
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	40,028,926	40,511,011	33,186,345	24,349,424	31,521,172	169,596,878
9 Net income from unrelated business activities, whether or not the business is regularly carried on.						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
11 Total support. Add lines 7 through 10						6,931,362,947
12 Gross receipts from related activities, etc. (see instructions)					12	

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

Section C. Computation of Public Support Percentage

14 Public support percentage for 2021 (line 6, column (f) divided by line 11, column (f))	14	96.670 %
15 Public support percentage for 2020 Schedule A, Part II, line 14	15	96.380 %

16a 33 1/3% support test—2021. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization

b 33 1/3% support test—2020. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization

17a 10%-facts-and-circumstances test—2021. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization

b 10%-facts-and-circumstances test—2020. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization

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

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

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

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2017	(b) 2018	(c) 2019	(d) 2020	(e) 2021	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year.						
c Add lines 7a and 7b. .						
8 Public support. (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2017	(b) 2018	(c) 2019	(d) 2020	(e) 2021	(f) Total
9 Amounts from line 6.						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975.						
c Add lines 10a and 10b.						
11 Net income from unrelated business activities not included on line 10b, whether or not the business is regularly carried on.						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
13 Total support. (Add lines 9, 10c, 11, and 12.)						
14 First 5 years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here. <input type="checkbox"/>						

Section C. Computation of Public Support Percentage

15 Public support percentage for 2021 (line 8, column (f) divided by line 13, column (f))	15	
16 Public support percentage from 2020 Schedule A, Part III, line 15	16	

Section D. Computation of Investment Income Percentage

17 Investment income percentage for 2021 (line 10c, column (f) divided by line 13, column (f))	17	
18 Investment income percentage from 2020 Schedule A, Part III, line 17	18	

19a 33 1/3% support tests—2021. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization

b 33 1/3% support tests—2020. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization

20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions

Part IV Supporting Organizations

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

Section A. All Supporting Organizations

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

Part IV Supporting Organizations (continued)

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

Section B. Type I Supporting Organizations

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

Section C. Type II Supporting Organizations

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

Section D. All Type III Supporting Organizations

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

Section E. Type III Functionally-Integrated Supporting Organizations

1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions):

- a** The organization satisfied the Activities Test. Complete **line 2** below.
- b** The organization is the parent of each of its supported organizations. Complete **line 3** below.
- c** The organization supported a governmental entity. Describe in **Part VI** how you supported a government entity (see instructions)

2 Activities Test. **Answer lines 2a and 2b below.**

	Yes	No
a Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? <i>If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.</i>		
b Did the activities described on line 2a, above constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? <i>If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.</i>		

3 Parent of Supported Organizations. **Answer lines 3a and 3b below.**

	Yes	No
a Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? <i>If "Yes" or "No", provide details in Part VI.</i>		
b Did the organization exercise a substantial degree of direction over the policies, programs and activities of each of its supported organizations? <i>If "Yes," describe in Part VI. the role played by the organization in this regard.</i>		

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

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

Section A - Adjusted Net Income

(A) Prior Year

(B) Current Year
(optional)

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

Section B - Minimum Asset Amount

(A) Prior Year

(B) Current Year
(optional)

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

Section C - Distributable Amount

Current Year

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

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

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

(continued)

Section D - Distributions		Current Year
1 Amounts paid to supported organizations to accomplish exempt purposes	1	
2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	2	
3 Administrative expenses paid to accomplish exempt purposes of supported organizations	3	
4 Amounts paid to acquire exempt-use assets	4	
5 Qualified set-aside amounts (prior IRS approval required - provide details in Part VI)	5	
6 Other distributions (describe in Part VI). See instructions	6	
7 Total annual distributions. Add lines 1 through 6.	7	
8 Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions	8	
9 Distributable amount for 2021 from Section C, line 6	9	
10 Line 8 amount divided by Line 9 amount	10	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2021	(iii) Distributable Amount for 2021
1 Distributable amount for 2021 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2021 (reasonable cause required-- explain in Part VI). See instructions.			
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			
g Applied to underdistributions of prior years			
h Applied to 2021 distributable amount			
i Carryover from 2016 not applied (see instructions)			
j Remainder. Subtract lines 3g, 3h, and 3i from line 3f.			
4 Distributions for 2021 from Section D, line 7: \$			
a Applied to underdistributions of prior years			
b Applied to 2021 distributable amount			
c Remainder. Subtract lines 4a and 4b from line 4.			
5 Remaining underdistributions for years prior to 2021, if any. Subtract lines 3g and 4a from line 2. If the amount is greater than zero, explain in Part VI . See instructions.			
6 Remaining underdistributions for 2021. Subtract lines 3h and 4b from line 1. If the amount is greater than zero, explain in Part VI . See instructions.			
7 Excess distributions carryover to 2022. Add lines 3j and 4c.			
8 Breakdown of line 7:			
a Excess from 2017.			
b Excess from 2018.			
c Excess from 2019.			
d Excess from 2020.			
e Excess from 2021.			

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

Facts And Circumstances Test

Return Reference

Explanation

Additional Data

Return to Form

Software ID:

Software Version:

Supplemental Financial Statements

2021

Open to Public Inspection

Complete if the organization answered "Yes," on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.

Attach to Form 990.

Go to www.irs.gov/Form990 for instructions and the latest information.

Department of the Treasury Internal Revenue Service

Name of the organization SMITHSONIAN INSTITUTION

Employer identification number

53-0206027

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.

Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

Table with 2 columns: (a) Donor advised funds, (b) Funds and other accounts. Rows 1-4: Total number at end of year, Aggregate value of contributions to (during year), Aggregate value of grants from (during year), Aggregate value at end of year.

5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? Yes No

6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? Yes No

Part II Conservation Easements.

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

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

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

a Total number of conservation easements

b Total acreage restricted by conservation easements

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

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

Table: Held at the End of the Year. Rows: 2a (1), 2b (88.25), 2c, 2d (0).

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year 0

4 Number of states where property subject to conservation easement is located 1

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

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

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

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

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

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

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

b If the organization elected, as permitted under FASB ASC 958, to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included on Form 990, Part VIII, line 1 \$

(ii) Assets included in Form 990, Part X \$

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under FASB ASC 958 relating to these items:

a Revenue included on Form 990, Part VIII, line 1 \$

b Assets included in Form 990, Part X \$

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

- 3** Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):
- a** Public exhibition
 - b** Scholarly research
 - c** Preservation for future generations
 - d** Loan or exchange programs
 - e** Other
- 4** Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.
- 5** During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? . . . **Yes** **No**

Part IV Escrow and Custodial Arrangements.

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

- 1a** Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? **Yes** **No**
- b** If "Yes," explain the arrangement in Part XIII and complete the following table:
- | | Amount |
|--|-----------|
| c Beginning balance | 1c |
| d Additions during the year | 1d |
| e Distributions during the year | 1e |
| f Ending balance | 1f |
- 2a** Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? **Yes** **No**
- b** If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided in Part XIII

Part V Endowment Funds.

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

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance	2,532,513,197	1,937,754,681	1,713,248,540	1,645,269,208	1,502,159,340
b Contributions	55,461,423	50,779,878	35,816,167	36,000,996	52,445,032
c Net investment earnings, gains, and losses	-177,127,991	626,775,984	270,503,159	113,052,434	167,085,531
d Grants or scholarships					
e Other expenditures for facilities and programs	84,916,966	79,750,157	76,885,815	75,789,588	72,853,244
f Administrative expenses	2,865,944	3,047,189	4,927,370	5,284,510	3,567,451
g End of year balance	2,323,063,719	2,532,513,197	1,937,754,681	1,713,248,540	1,645,269,208

- 2** Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:
- a** Board designated or quasi-endowment ▶ 41.000 %
 - b** Permanent endowment ▶ 27.000 %
 - c** Term endowment ▶ 32.000 %
- The percentages on lines 2a, 2b, and 2c should equal 100%.

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

- (i)** Unrelated organizations
- (ii)** Related organizations

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

- b** If "Yes" on 3a(ii), are the related organizations listed as required on Schedule R?
- 4** Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment.

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

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land		32,818,456		32,818,456
b Buildings		5,050,409,124	2,455,145,890	2,595,263,234
c Leasehold improvements		138,768,163	100,365,233	38,402,930
d Equipment		326,172,851	286,614,338	39,558,513
e Other		229,616,142	99,393,809	130,222,333
Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10(c).) . . . ▶				2,836,265,466

Part VII Investments - Other Securities.

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

Table with 3 columns: (a) Description of security or category, (b) Book value, (c) Method of valuation. Rows include Financial derivatives, Closely-held equity interests, Other, and categories (A) through (H). Total book value is 2,626,748,576.

Part VIII Investments - Program Related.

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

Table with 3 columns: (a) Description of investment, (b) Book value, (c) Method of valuation. Rows (1) through (9) are currently empty.

Part IX Other Assets.

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

Table with 2 columns: (a) Description, (b) Book value. Rows (1) through (9) are currently empty.

Part X Other Liabilities.

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

Table with 2 columns: (a) Description of liability, (b) Book value. Row (1) Federal income taxes has a book value of 46,222,353.

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII

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

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

1	Total revenue, gains, and other support per audited financial statements	1	1,549,441,614
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:		
a	Net unrealized gains (losses) on investments	2a	-454,019,132
b	Donated services and use of facilities	2b	8,394,664
c	Recoveries of prior year grants	2c	
d	Other (Describe in Part XIII.)	2d	122,610,572
e	Add lines 2a through 2d	2e	-323,013,896
3	Subtract line 2e from line 1	3	1,872,455,510
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1:		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	2,463,928
b	Other (Describe in Part XIII.)	4b	-18,936,392
c	Add lines 4a and 4b	4c	-16,472,464
5	Total revenue. Add lines 3 and 4c . (This must equal Form 990, Part I, line 12.)	5	1,855,983,046

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

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

1	Total expenses and losses per audited financial statements	1	1,635,233,819
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:		
a	Donated services and use of facilities	2a	8,394,664
b	Prior year adjustments	2b	
c	Other losses	2c	
d	Other (Describe in Part XIII.)	2d	
e	Add lines 2a through 2d	2e	8,394,664
3	Subtract line 2e from line 1	3	1,626,839,155
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	2,463,928
b	Other (Describe in Part XIII.)	4b	-141,656,646
c	Add lines 4a and 4b	4c	-139,192,718
5	Total expenses. Add lines 3 and 4c . (This must equal Form 990, Part I, line 18.)	5	1,487,646,437

Part XIII**Supplemental Information**

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

Return Reference	Explanation
PART II, LINE 3:	SMITHSONIAN INSTITUTION DID NOT MODIFY, TRANSFER, RELEASE, EXTINGUISH OR TERMINATE ANY CONSERVATION EASEMENTS DURING THE YEAR. PART II, LINE 6: THE SMITHSONIAN ENVIRONMENTAL RESEARCH CENTER (SERC) IS LOCATED ON 2,650 ACRES OF LAND ON THE CHESAPEAKE BAY IN SOUTHERN MARYLAND SPANNING FORESTS, WETLANDS, MARSHES, AND 12 MILES OF PROTECTED SHORELINE. THE SITE SERVES AS A NATURAL LABORATORY FOR LONG-TERM AND CUTTING-EDGE ECOLOGICAL RESEARCH. THE SMITHSONIAN HAS A CONSERVATION EASEMENT ASSOCIATED WITH PROPERTY THAT IS IMMEDIATELY ADJACENT TO SERC LAND OWNED BY THE INSTITUTION. FACILITIES AND SECURITY STAFF VISIT THE AREA REGULARLY AND ARE THUS ABLE TO REPORT ANY UNUSUAL ACTIVITY ON THE LAND SUBJECT TO THE EASEMENT. THE ORGANIZATION DOES NOT SEPARATELY TRACK THE HOURS AND EXPENSES ASSOCIATED WITH MONITORING THE PROPERTY RELATED TO THE EASEMENT.
PART II, LINE 9:	THE SMITHSONIAN INSTITUTION'S CONSERVATION EASEMENT DOES NOT APPEAR IN THE INSTITUTION'S AUDITED FINANCIAL STATEMENTS.
PART III, LINE 1A:	IN CONFORMITY WITH THE PRACTICE GENERALLY FOLLOWED BY MUSEUMS, NO VALUE IS ASSIGNED TO THE COLLECTIONS IN THE STATEMENT OF FINANCIAL POSITION. PURCHASES OF COLLECTION ITEMS ARE RECOGNIZED AS REDUCTIONS IN NET ASSETS WITHOUT DONOR RESTRICTION IN THE PERIOD OF ACQUISITION. PROCEEDS FROM DEACCESSIONS OR INSURANCE RECOVERIES FOR LOST OR DESTROYED COLLECTION ITEMS ARE RECOGNIZED AS INCREASES IN THE APPROPRIATE NET ASSET CLASS AND ARE DESIGNATED FOR FUTURE COLLECTION ACQUISITIONS, CARE, AND MAINTENANCE.
PART III, LINE 4:	THE ACQUISITION, PRESERVATION, MANAGEMENT, AND STUDY OF COLLECTIONS ARE FUNDAMENTAL TO THE SMITHSONIAN'S MISSION TO INCREASE AND DIFFUSE KNOWLEDGE AND HAVE BEEN THE FOUNDATION UPON WHICH IT RESTS. SMITHSONIAN COLLECTIONS ARE A NATIONAL AND GLOBAL RESOURCE ACCESSED EACH YEAR BY MILLIONS OF VISITORS AND RESEARCHERS WHO USE TRADITIONAL METHODS AND CUTTING-EDGE TECHNOLOGIES TO EXPLORE SUBJECTS FROM AERONAUTICS TO ZOOLOGY. THROUGH ITS COLLECTIONS, THE SMITHSONIAN PRESENTS THE ASTONISHING RECORD OF AMERICAN AND INTERNATIONAL ARTISTIC, HISTORICAL, CULTURAL, AND SCIENTIFIC ACHIEVEMENT, WITH A SCOPE AND DEPTH NO OTHER INSTITUTION IN THE WORLD CAN MATCH. SMITHSONIAN COLLECTIONS CONTRIBUTE TO POPULATION RECOVERY OF ENDANGERED SPECIES, ADVANCES IN REPRODUCTIVE BIOLOGY, GENOME RESOURCE BANKING, MEDICAL RESEARCH, FORENSIC ANALYSIS, BIO-SECURITY, AND CONSERVATION POLICY WORLDWIDE. ASSEMBLED OVER MORE THAN 175 YEARS, THE COLLECTIONS ARE CENTRAL TO THE CORE ACTIVITIES AND TO THE VITALITY AND SIGNIFICANCE OF THE SMITHSONIAN.
PART V, LINE 4:	THE ENDOWMENT INCLUDES APPROXIMATELY 700 INDIVIDUAL ENDOWMENT FUNDS. THE ENDOWMENT PROVIDES STABLE FINANCIAL SUPPORT FOR SCHOLARSHIP, RESEARCH ACTIVITIES, OTHER PROGRAMS, ACQUISITIONS OF COLLECTIONS AND OTHER INSTITUTIONAL ACTIVITIES. IT PLAYS A CRITICAL ROLE IN ENABLING THE INSTITUTION TO ACHIEVE ITS MISSION - "THE INCREASE AND DIFFUSION OF KNOWLEDGE." THE ENDOWMENT INCLUDES BOTH DONOR-RESTRICTED ENDOWMENT FUNDS AND FUNDS DESIGNATED BY THE BOARD OF REGENTS TO FUNCTION AS ENDOWMENTS. CLASSIFICATION AND REPORTING OF NET ASSETS ASSOCIATED WITH THE ENDOWMENT REFLECT DONOR-IMPOSED RESTRICTIONS.
PART X, LINE 2:	FIN 48 (ASC 740) FOOTNOTE THE SMITHSONIAN RECOGNIZES THE EFFECT OF INCOME TAX POSITIONS ONLY IF THOSE POSITIONS ARE MORE LIKELY THAN NOT OF BEING SUSTAINED. THE SMITHSONIAN DOES NOT BELIEVE ITS FINANCIAL STATEMENTS INCLUDE ANY UNCERTAIN TAX POSITIONS.
PART XI, LINE 2D - OTHER ADJUSTMENTS:	IMPUTED REVENUE 122,720,254. PROCEEDS FROM SALES OF COLLECTIONS -109,682.
PART XI, LINE 4B - OTHER ADJUSTMENTS:	DIRECT FUNDRAISING EXP -712,279. DIRECT EXPENSES COGS -18,224,113.
PART XII, LINE 4B - OTHER ADJUSTMENTS:	DIRECT EXPENSES COGS -18,224,113. DIRECT FUNDRAISING EXP -712,279. IMPUTED REVENUE -122,720,254.

Additional Data

[Return to Form](#)

Software ID:
Software Version:

Statement of Activities Outside the United States

▶ **Complete if the organization answered "Yes" to Form 990, Part IV, line 14b, 15, or 16.**

▶ **Attach to Form 990.**

▶ **Go to www.irs.gov/Form990 for instructions and the latest information.**

2021

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

Name of the organization
SMITHSONIAN INSTITUTION

Employer identification number
53-0206027

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

1 For grantmakers. Does the organization maintain records to substantiate the amount of its grants and other assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? **Yes** **No**

2 For grantmakers. Describe in Part V the organization's procedures for monitoring the use of its grants and other assistance outside the United States.

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

(a) Region	(b) Number of offices in the region	(c) Number of employees, agents, and independent contractors in the region	(d) Activities conducted in region (by type) (such as, fundraising, program services, investments, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in the region	(f) Total expenditures for and investments in the region
(1) EAST ASIA AND THE PACIFIC	0	0	ACADEMIC APPOINTMENT STIPENDS		538,793
(2) SUB-SAHARAN AFRICA	0	0	ACADEMIC APPOINTMENT STIPENDS		173,491
(3) NORTH AMERICA	0	0	ACADEMIC APPOINTMENT STIPENDS		374,106
(4) CENTRAL AMERICA AND THE CARIBBEAN	0	0	ACADEMIC APPOINTMENT STIPENDS		743,390
(5) SOUTH AMERICA	0	0	ACADEMIC APPOINTMENT STIPENDS		925,736
(6) EUROPE (INCLUDING ICELAND & GREENLAND)	0	0	ACADEMIC APPOINTMENT STIPENDS		771,974
(7) RUSSIA AND NEIGHBORING STATES	0	0	ACADEMIC APPOINTMENT STIPENDS		51,667
(8) EAST ASIA AND THE PACIFIC	0	0	PROGRAM SERVICES	TRAVEL, RELATED TO RESEARCH, CONFERENCES AND TRAINING	569,724
(9) SUB-SAHARAN AFRICA	0	0	PROGRAM SERVICES	TRAVEL, RELATED TO RESEARCH, CONFERENCES AND TRAINING	494,775
(10) NORTH AMERICA	0	0	PROGRAM SERVICES	TRAVEL, RELATED TO RESEARCH, CONFERENCES AND TRAINING	115,031
(11) EUROPE (INCLUDING ICELAND & GREENLAND)	0	0	PROGRAM SERVICES	TRAVEL, RELATED TO RESEARCH, CONFERENCES AND TRAINING	915,502
(12) NORTH AMERICA	0	0	PROGRAM SERVICES	TRAVEL, RELATED TO RESEARCH, CONFERENCES AND TRAINING	409,404
(13) SOUTH AMERICA	0	0	PROGRAM SERVICES	TRAVEL, RELATED TO RESEARCH, CONFERENCES AND TRAINING	184,384
(14) CENTRAL AMERICA AND THE CARIBBEAN	0	0	INVESTMENTS		1,104,144,867
(15) NORTH AMERICA	0	0	INVESTMENTS		4,286,200
(16) EUROPE (INCLUDING ICELAND AND GREENLAND)	0	0	INVESTMENTS		107,697,156
(17) SUB-SAHARAN AFRICA	0	0	INVESTMENTS		46,392,282
3a Sub-total	0	0			4,148,881
b Total from continuation sheets to Part I	0	0			1,264,639,601
c Totals (add lines 3a and 3b)	0	0			1,268,788,482

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

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of noncash assistance	(h) Description of noncash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)									
(2)									
(3)									
(4)									
(5)									
(6)									
(7)									
(8)									
(9)									
(10)									
(11)									
(12)									
(13)									
(14)									
(15)									
(16)									

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter 0

3 Enter total number of other organizations or entities 0

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

Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Region	(c) Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of noncash assistance	(g) Description of noncash assistance	(h) Method of valuation (book, FMV, appraisal, other)
(1) ACADEMIC APPOINTMENT STIPENDS	EAST ASIA AND THE PACIFIC	31	538,793	DIRECT DEPOSIT AND CHECKS			ACCRUAL
(2) ACADEMIC APPOINTMENT STIPENDS	SUB-SAHARAN AFRICA	7	173,491	DIRECT DEPOSIT AND CHECKS			ACCRUAL
(3) ACADEMIC APPOINTMENT STIPENDS	NORTH AMERICA	23	374,106	DIRECT DEPOSIT AND CHECKS			ACCRUAL
(4) ACADEMIC APPOINTMENT STIPENDS	CENTRAL AMERICA AND THE CARIBBEAN	99	743,390	DIRECT DEPOSIT AND CHECKS			ACCRUAL
(5) ACADEMIC APPOINTMENT STIPENDS	SOUTH AMERICA	80	925,736	DIRECT DEPOSIT AND CHECKS			ACCRUAL
(6) ACADEMIC APPOINTMENT STIPENDS	EUROPE (INCLUDING ICELAND & GREENLAND)	61	771,974	DIRECT DEPOSIT AND CHECKS			ACCRUAL
(7) ACADEMIC APPOINTMENT STIPENDS	RUSSIA AND NEIGHBORING STATES	1	51,667	DIRECT DEPOSIT AND CHECKS			ACCRUAL
(8)							
(9)							
(10)							
(11)							
(12)							
(13)							
(14)							
(15)							
(16)							
(17)							
(18)							

Part IV Foreign Forms

- 1 Was the organization a U.S. transferor of property to a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 926, Return by a U.S. Transferor of Property to a Foreign Corporation (see Instructions for Form 926)* Yes No
- 2 Did the organization have an interest in a foreign trust during the tax year? *If "Yes," the organization may be required to separately file Form 3520, Annual Return to Report Transactions with Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U.S. Owner (see Instructions for Forms 3520 and 3520-A; don't file with Form 990)* Yes No
- 3 Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons with Respect to Certain Foreign Corporations. (see Instructions for Form 5471)* Yes No
- 4 Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Information Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund. (see Instructions for Form 8621)* . Yes No
- 5 Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons with Respect to Certain Foreign Partnerships (see Instructions for Form 8865)* Yes No
- 6 Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to separately file Form 5713, International Boycott Report (see Instructions for Form 5713; don't file with Form 990).* Yes No

Additional Data

Software ID:

Software Version:

Supplemental Information Regarding Fundraising or Gaming Activities
Complete if the organization answered "Yes" on Form 990, Part IV, lines 17, 18, or 19, or if the organization entered more than \$15,000 on Form 990-EZ, line 6a.
▶ Attach to Form 990 or Form 990-EZ.
▶ Go to www.irs.gov/Form990 for instructions and the latest information.

Name of the organization
SMITHSONIAN INSTITUTION

Employer identification number
53-0206027

Part I Fundraising Activities. Complete if the organization answered "Yes" on Form 990, Part IV, line 17. Form 990-EZ filers are not required to complete this part.

- 1** Indicate whether the organization raised funds through any of the following activities. Check all that apply.
- | | |
|---|--|
| a <input checked="" type="checkbox"/> Mail solicitations | e <input checked="" type="checkbox"/> Solicitation of non-government grants |
| b <input checked="" type="checkbox"/> Internet and email solicitations | f <input checked="" type="checkbox"/> Solicitation of government grants |
| c <input checked="" type="checkbox"/> Phone solicitations | g <input checked="" type="checkbox"/> Special fundraising events |
| d <input checked="" type="checkbox"/> In-person solicitations | |
- 2a** Did the organization have a written or oral agreement with any individual (including officers, directors, trustees or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising services? Yes No
- b** If "Yes," list the 10 highest paid individuals or entities (fundraisers) pursuant to agreements under which the fundraiser is to be compensated at least \$5,000 by the organization.

(i) Name and address of individual or entity (fundraiser)	(ii) Activity	(iii) Did fundraiser have custody or control of contributions?		(iv) Gross receipts from activity	(v) Amount paid to (or retained by) fundraiser listed in col. (i)	(vi) Amount paid to (or retained by) organization
		Yes	No			
1 AVALON CONSULTING GROUP INC 805 15TH STREET NW WASHINGTON, DC 20005	DIRECT MARKETING CONSULTANT		No	0	1,190,182	-1,190,182
2 COMMUNITY COUNSELLING SERVICE CO LLC 461 5TH AVENUE NEW YORK, NY 10017	FUNDRAISING CONSULTANT		No	0	481,500	-481,500
3 GRENZEBACH GLIER & ASSOCIATES INC 200 SOUTH MICHIGAN AVE SUITE 2100 CHIGAGO, IL 606042473	MARKETING CONSULTANT		No	0	151,459	-151,459
4 JOHN BROWN LIMITED INC 4916 CRESTWOOD DRIVE WACO, TX 78710	FUNDRAISING CONSULTANT		No	0	13,047	-13,047
5 SD&A TELESERVICES INC 101 CONTINENTAL BLVD EL SEGUNDO, GA 902454515	TELEMARKETING SERVICES		No	0	135,186	-135,186
6 LIPMAN HEARNE INC 1899 S ST NW WASHINGTON, DC 20009	MARKETING SERVICES		No	0	223,573	-223,573
7						
8						
9						
10						
Total					2,194,947	-2,194,947

3 List all states in which the organization is registered or licensed to solicit contributions or has been notified it is exempt from registration or licensing.

Part II Fundraising Events. Complete if the organization answered "Yes" on Form 990, Part IV, line 18, or reported more than \$15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than \$5,000.

		(a)Event #1 NDA AWARD DINNER (event type)	(b) Event #2 HIRSHHORN BALL (event type)	(c)Other events 19 (total number)	(d) Total events (add col. (a) through col. (c))
Revenue	1 Gross receipts	871,759	157,525	690,465	1,719,749
	2 Less: Contributions	452,024	193,000	1,015,940	1,660,964
	3 Gross income (line 1 minus line 2)	419,735	-35,475	-325,475	58,785
Direct Expenses	4 Cash prizes				
	5 Noncash prizes				
	6 Rent/facility costs				
	7 Food and beverages	18,193	58,827	74,676	151,696
	8 Entertainment	1,185	1,592	4,853	7,630
	9 Other direct expenses	182,660	85,579	284,714	552,953
	10 Direct expense summary. Add lines 4 through 9 in column (d) ▶				712,279
11 Net income summary. Subtract line 10 from line 3, column (d) ▶				-653,494	

Part III Gaming. Complete if the organization answered "Yes" on Form 990, Part IV, line 19, or reported more than \$15,000 on Form 990-EZ, line 6a.

		(a) Bingo	(b) Pull tabs/Instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (add col.(a) through col.(c))
Revenue	1 Gross revenue				
Direct Expenses	2 Cash prizes				
	3 Noncash prizes				
	4 Rent/facility costs				
	5 Other direct expenses				
6 Volunteer labor	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No		
7 Direct expense summary. Add lines 2 through 5 in column (d) ▶					
8 Net gaming income summary. Subtract line 7 from line 1, column (d) ▶					

9 Enter the state(s) in which the organization conducts gaming activities: _____

a Is the organization licensed to conduct gaming activities in each of these states? Yes No

b If "No," explain: _____

10a Were any of the organization's gaming licenses revoked, suspended or terminated during the tax year? . . . Yes No

b If "Yes," explain: _____

11 Does the organization conduct gaming activities with nonmembers? Yes No

12 Is the organization a grantor, beneficiary or trustee of a trust or a member of a partnership or other entity formed to administer charitable gaming? Yes No

13 Indicate the percentage of gaming activity conducted in:

a	The organization's facility	13a	%
b	An outside facility	13b	%

14 Enter the name and address of the person who prepares the organization's gaming/special events books and records:

Name ▶ -----

Address ▶ -----

15a Does the organization have a contract with a third party from whom the organization receives gaming revenue? Yes No

b If "Yes," enter the amount of gaming revenue received by the organization ▶ \$ _____ and the amount of gaming revenue retained by the third party ▶ \$ _____.

c If "Yes," enter name and address of the third party:

Name ▶ -----

Address ▶ -----

16 Gaming manager information:

Name ▶ -----

Gaming manager compensation ▶ \$ -----

Description of services provided ▶ -----

Director/officer Employee Independent contractor

17 Mandatory distributions:

a Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license? Yes No

b Enter the amount of distributions required under state law distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ▶ \$ _____

Part IV Supplemental Information. Provide the explanations required by Part I, line 2b, columns (iii) and (v); and Part III, lines 9, 9b, 10b, 15b, 15c, 16, and 17b, as applicable. Also provide any additional information. See instructions.

Return Reference	Explanation
SCHEDULE G, PART I	SI IS A TRUST INSTRUMENTALITY OF THE U.S. AND AS SUCH IS EXEMPT FROM STATE REGULATIONS PURSUANT TO THE SUPREMACY CLAUSE OF THE U.S. CONSTITUTION. ALL STATES THAT HAVE INQUIRED ABOUT SI FUNDRAISING SOLICITATION REGISTRATION HAVE ACKNOWLEDGED THIS EXEMPTION.

**Schedule I
(Form 990)**

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

OMB No. 1545-0047

2021

Open to Public
Inspection

Department of the
Treasury
Internal Revenue Service

Complete if the organization answered "Yes," on Form 990, Part IV, line 21 or 22.

▶ Attach to Form 990.

▶ Go to www.irs.gov/Form990 for the latest information.

Name of the organization
SMITHSONIAN INSTITUTION

Employer identification number
53-0206027

Part I General Information on Grants and Assistance

- 1** Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? Yes No
- 2** Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

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

(a) Name and address of organization or government	(b) EIN	(c) IRC section (if applicable)	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of noncash assistance	(h) Purpose of grant or assistance
(1) AUBURN UNIVERSITY 107 SAMFORD HALL AUBURN, AL 368490001	63-6000724	501(C)(3)	55,000	0			ACADEMIC APPT. STIPENDS
(2) CLARK ATLANTA UNIVERSITY INC 223 JAMES P BRAWLEY DR SW ATLANTA, GA 303144358	58-1825259	501(C)(3)	31,850	0			ACADEMIC APPT. STIPENDS
(3) JACKSON STATE UNIVERSITY 1400 J R LYNCH ST STE 206 JACKSON, MS 392170002	64-6000507	501(C)(3)	11,650	0			ACADEMIC APPT. STIPENDS
(4) SALISBURY UNIVERSITY 1101 CAMDEN AVE SALISBURY, MD 218016860	52-6002033	501(C)(3)	14,500	0			ACADEMIC APPT. STIPENDS
(5) MILLERSVILLE UNIVERSITY PO BOX 1002 MILLERSVILLE, PA 175510302	23-2397926	501(C)(3)	10,300	0			ACADEMIC APPT. STIPENDS
(6) UNIVERSITY OF FLORIDA 1523 UNION RD RM 207 GAINESVILLE, FL 326111941	59-6002052	501(C)(3)	10,931	0			ACADEMIC APPT. STIPENDS
(7) BETHUNE-COOKMAN UNIVERSITY IN 640 DR MARY MCLEOD BETHUNE BLVD DAYTONA BEACH, FL 321143012	59-0704726	501(C)(3)	9,710	0			ACADEMIC APPT. STIPENDS
(8) FLORIDA A&M UNIVERSITY 400 FOOTE-HILYER ADMINISTRATION CENTER TALLAHASSEE, FL 323073100	59-0977035	501(C)(3)	31,850	0			ACADEMIC APPT. STIPENDS
(9) UNIVERSITY OF MARYLAND 3112 LEE BLDG 7809 REGENTS DRIVE COLLEGE PARK, MD 207420001	52-6002033	501(C)(3)	43,164	0			ACADEMIC APPT. STIPENDS
(10) UNIVERSITY OF MARYLAND AT COLL 4500 CAMPUS DRIVE COLLEGE PARK, MD 207420001	52-6002033	501(C)(3)	7,300	0			ACADEMIC APPT. STIPENDS
(11) TEXAS SOUTHERN UNIVERSITY 3100 CLEBURNE ST HOUSTON, TX 770044501	74-6001391	501(C)(3)	31,850	0			ACADEMIC APPT. STIPENDS
(12) FISK UNIVERSITY 1000 17TH AVENUE NORTH NASHVILLE, TN 37208	62-0202000	501(C)(3)	14,500	0			ACADEMIC APPT. STIPENDS
(13) TUSKEGEE UNIVERSITY 1200 W MONTGOMERY RD TUSKEGEE INSTITUTE, AL 360881923	63-0288878	501(C)(3)	23,516	0			ACADEMIC APPT. STIPENDS
(14) HARVARD COLLEGE PRESIDENT & F PO BOX 4999 BOSTON, MA 02212	04-2103580	501(C)(3)	57,266	0			ACADEMIC APPT. STIPENDS

- 2** Enter total number of section 501(c)(3) and government organizations listed in the line 1 table 14
- 3** Enter total number of other organizations listed in the line 1 table 0

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

Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of noncash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of noncash assistance
(1) RESEARCH FELLOWSHIPS AND ACADEMIC APPOINTMENTS	991	13,632,628			
(1)					
(2)					
(3)					
(4)					
(5)					
(6)					
(7)					

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

Return Reference	Explanation
PART I, LINE 2:	<p>THE SMITHSONIAN PROGRAMS OF RESEARCH FELLOWSHIPS AND OTHER ACADEMIC APPOINTMENTS FOR UNDERGRADUATE, GRADUATE STUDENTS, POSTDOCTORAL AND SENIOR SCHOLARS. THE SMITHSONIAN INSTITUTION FELLOWSHIP PROGRAM IS A COMPETITIVE FELLOWSHIP PROGRAM FOR GRADUATE AND POSTDOCTORAL FELLOWS, WHO APPLY TO CONDUCT RESEARCH AT THE INSTITUTION WITH RESEARCH STAFF SERVING AS ADVISORS. THE REVIEW PROCESS IS MADE UP OF DISCIPLINARY COMMITTEES COMPRISED OF THE INSTITUTION'S RESEARCH STAFF WHO EVALUATE THE CANDIDATES AND THEN SELECT THE FELLOWS. THERE ARE OTHER COMPETITIVE AND NON-COMPETITIVE FELLOWSHIPS FOR VISITING SCHOLAR AND STUDENT APPOINTEES SELECTED THROUGH THE SMITHSONIAN UNITS THAT GO THROUGH A VARIETY OF OTHER SELECTIONS PROCESSES BEFORE AN AWARD IS MADE. AN OFFICIAL LETTER/AGREEMENT IS PROVIDED TO EACH AWARD RECIPIENT IDENTIFYING THE AWARD TITLE, DATES OF TENURE, STIPEND ALLOWANCES, AND REQUIRED RESPONSIBILITIES FOR HOLDING THIS POSITION. ALL RECIPIENTS EITHER WILL IDENTIFY A FINANCIAL INSTITUTION FOR RECEIPT OF THEIR MONETARY AWARD OR THEY WILL RECEIVE US TREASURY CHECKS. DEPENDING ON THE TENURE OF THE APPOINTMENT, PAYMENTS MAY BE MADE IN A LUMP SUM OR IN PERIODIC PAYMENTS. MOST FELLOWSHIP APPOINTMENTS ARE AWARDED FOR ONE TO TWO YEARS. AT THE END OF TENURE, A FINAL REPORT OF THEIR RESEARCH ACCOMPLISHMENTS IS PROVIDED FOR OUR RECORDS. SMITHSONIAN RESEARCH STAFF WHO SERVE AS ADVISORS TO THESE FELLOWS, STUDENTS AND SCHOLARS ARE USUALLY IN THE FIELD DURING THEIR TENURE. THE INDIVIDUAL SMITHSONIAN RESEARCH CENTERS MONITOR THE PROGRESS OF THEIR FELLOWS, AND THE FUNDS ARE MANAGED THROUGH THE INSTITUTION'S CENTRAL ADMINISTRATION TO ENSURE ACCOUNTABILITY. SIMILAR PROCESSES ARE FOLLOWED FOR AWARDS MADE TO ORGANIZATIONS WHOSE ACADEMIC STAFF PERFORM THE RELATED RESEARCH.</p>

Additional Data

[Return to Form](#)

Software ID:
Software Version:

Schedule J
(Form 990)

Compensation Information

OMB No. 1545-0047

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

- ▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 23.**
- ▶ **Attach to Form 990.**
- ▶ **Go to www.irs.gov/Form990 for instructions and the latest information.**

2021

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

Name of the organization
SMITHSONIAN INSTITUTION

Employer identification number

53-0206027

Part I Questions Regarding Compensation

1a Check the appropriate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.

- | | |
|---|--|
| <input checked="" type="checkbox"/> First-class or charter travel | <input type="checkbox"/> Housing allowance or residence for personal use |
| <input type="checkbox"/> Travel for companions | <input type="checkbox"/> Payments for business use of personal residence |
| <input type="checkbox"/> Tax idemnification and gross-up payments | <input type="checkbox"/> Health or social club dues or initiation fees |
| <input type="checkbox"/> Discretionary spending account | <input type="checkbox"/> Personal services (e.g., maid, chauffeur, chef) |

b If any of the boxes on Line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain

2 Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, officers, including the CEO/Executive Director, regarding the items checked on Line 1a?

3 Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.

- | | |
|---|---|
| <input checked="" type="checkbox"/> Compensation committee | <input type="checkbox"/> Written employment contract |
| <input checked="" type="checkbox"/> Independent compensation consultant | <input checked="" type="checkbox"/> Compensation survey or study |
| <input checked="" type="checkbox"/> Form 990 of other organizations | <input checked="" type="checkbox"/> Approval by the board or compensation committee |

4 During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:

- a** Receive a severance payment or change-of-control payment?
 - b** Participate in, or receive payment from, a supplemental nonqualified retirement plan?
 - c** Participate in, or receive payment from, an equity-based compensation arrangement?
- If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.

Only 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.

5 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:

- a** The organization?
 - b** Any related organization?
- If "Yes," on line 5a or 5b, describe in Part III.

6 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:

- a** The organization?
 - b** Any related organization?
- If "Yes," on line 6a or 6b, describe in Part III.

7 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described in lines 5 and 6? If "Yes," describe in Part III.

8 Were any amounts reported on Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III.

9 If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?

	Yes	No
1a		
1b		No
2		No
3		
4a		No
4b		No
4c		No
5a		No
5b		No
6a		No
6b		No
7		No
8		No
9		

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

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

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

(A) Name and Title		(B) Breakdown of W-2, 1099-MISC compensation, and/or 1099-NEC			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
1 AMY CHEN CHIEF INVESTMENT OFFICER	(i)	343,907	434,855	0	44,399	1,889	825,050	0
	(ii)	0	0	0	0	0	0	0
2 MR LONNIE G BUNCH III SECRETARY OF THE SMITHSONIAN	(i)	738,754	0	0	47,749	23,937	810,440	0
	(ii)	0	0	0	0	0	0	0
3 JOHN DAVIS THRU 82721 PROVOST	(i)	499,719	60,000	0	40,406	14,385	614,510	0
	(ii)	0	0	0	0	0	0	0
4 MEROE PARK DEPUTY SECRETARY & COO	(i)	513,377	15,000	0	43,966	1,653	573,996	0
	(ii)	0	0	0	0	0	0	0
5 JEFFREY SMITH MANAGING DIRECTOR, OI	(i)	220,104	202,575	0	45,572	37,126	505,377	0
	(ii)	0	0	0	0	0	0	0
6 MELISSA CHIU DIRECTOR, HIRSHHORN MUSEUM & SCULPTU	(i)	406,833	0	0	42,828	35,648	485,309	0
	(ii)	0	0	0	0	0	0	0
7 ROBERT SPILLER ASSISTANT SECRETARY FOR ADVANCEMENT	(i)	386,018	10,000	0	43,920	38,106	478,044	0
	(ii)	0	0	0	0	0	0	0
8 CAROL LEBLANC PRESIDENT, SMITHSONIAN ENTERPRISES	(i)	353,673	0	0	114,236	0	467,909	0
	(ii)	0	0	0	0	0	0	0
9 CHASE ROBINSON DIR SACKLER GALLERY/FREER GALL	(i)	406,933	0	0	44,193	12,395	463,521	0
	(ii)	0	0	0	0	0	0	0
10 KEVIN GOVER ACTING UNDER SECRETARY FOR MUSEUMS &	(i)	365,761	20,000	0	47,155	25,765	458,681	0
	(ii)	0	0	0	0	0	0	0
11 KEVIN YOUNG DIR NATL MUSEUM OF AFRICAN AME	(i)	302,876	75,000	0	41,893	36,506	456,275	0
	(ii)	0	0	0	0	0	0	0
12 ELLEN STOFAN DIRECTOR, NATL AIR AND SPACE MUSEUM	(i)	334,146	0	0	44,571	34,815	413,532	0
	(ii)	0	0	0	0	0	0	0
13 RICHARD KURIN THRU 93019 SR. SCHOLAR & AMBASSADOR-AT-LARGE	(i)	323,706	2,000	0	55,847	16,258	397,811	0
	(ii)	0	0	0	0	0	0	0
14 JULISSA MARENCO ASST SEC. FOR COMMUNICATIONS AND EXT	(i)	237,439	25,000	0	35,406	25,533	323,378	0
	(ii)	0	0	0	0	0	0	0
15 JUDITH LEONARD GENERAL COUNSEL	(i)	245,381	15,000	0	39,967	12,016	312,364	0
	(ii)	0	0	0	0	0	0	0
16 MICHAEL MCCARTHY THRU 5521 UNDER SECRETARY FOR ADMINISTRATION	(i)	237,697	10,000	0	18,044	17,638	283,379	0
	(ii)	0	0	0	0	0	0	0
17 PORTER WILKINSON CHIEF OF STAFF TO THE REGENTS	(i)	203,911	10,000	0	29,306	24,854	268,071	0
	(ii)	0	0	0	0	0	0	0
18 ZULLY DORR THRU 093019 DEPUTY ASST SEC. FOR ADVANCEMENT	(i)	211,591	3,000	0	30,682	22,579	267,852	0
	(ii)	0	0	0	0	0	0	0
19 JANICE LAMBERT CHIEF FINANCIAL OFFICER	(i)	218,050	10,000	0	34,467	3,840	266,357	0
	(ii)	0	0	0	0	0	0	0
20 ROGER BRISSENDEN THRU 31321 ACTING UNDER SEC. FOR SCIENCE & RSRC	(i)	194,204	41,758	0	9,924	17,834	263,720	0
	(ii)	0	0	0	0	0	0	0

(A) Name and Title		(B) Breakdown of W-2, 1099-MISC compensation, and/or 1099-NEC			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
21 CATHY HELM INSPECTOR GENERAL	(i)	237,020	0	0	0	24,227	261,247	0
	(ii)	0	0	0	0	- 0	- 0	0
22 DERON BURBA THRU 93018 CHIEF INFORMATION OFFICER	(i)	199,227	0	0	29,266	28,300	256,793	0
	(ii)	0	0	0	0	- 0	- 0	0
23 DOUGLAS HALL ACTING UNDER SEC. FOR ADMINISTRATION	(i)	188,526	34,500	0	9,928	23,744	256,698	0
	(ii)	0	0	0	0	- 0	- 0	0
24 ERA MARSHALL THRU 93018 DIRECTOR OF EQUAL EMPLOYMENT	(i)	191,276	35,823	0	0	20,728	247,827	0
	(ii)	0	0	0	0	- 0	- 0	0
25 JOHN LAPIANA THRU 93018 SENIOR ADVISOR	(i)	196,734	0	0	27,954	11,809	236,497	0
	(ii)	0	0	0	0	- 0	- 0	0
26 NANCY BECHTOL DIRECTOR, SMITHSONIAN FACILITIES	(i)	199,735	0	0	28,012	1,068	228,815	0
	(ii)	0	0	0	0	- 0	- 0	0
27 DAVID VOYLES THRU 123121 DIR OF PLANNING, MGMT & BUDGET	(i)	189,402	5,934	0	9,834	10,039	215,209	0
	(ii)	0	0	0	0	- 0	- 0	0
28 CHARLES ALCOCK THRU 123120 DIRECTOR, SMITHSONIAN ASTROPHYS OBSV	(i)	159,286	0	0	22,664	972	182,922	0
	(ii)	0	0	0	0	- 0	- 0	0

Part III Supplemental Information

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

Return Reference	Explanation
PART I, LINE 1A	CHARTERED TRAVEL FOR BONA-FIDE BUSINESS PURPOSES WAS AUTHORIZED FOR TWO KEY EMPLOYEES WHEN THE CIRCUMSTANCES OF THEIR TRAVEL MET THE REQUIREMENTS OF THE SMITHSONIAN'S POLICY FOR SUCH TRAVEL. CHARTERED CLASS TRAVEL WAS APPROVED IN EACH INSTANCE BY THAT INDIVIDUAL'S DESIGNATED "APPROVING OFFICIAL" FOR TRAVEL. THE SMITHSONIAN'S TRAVEL POLICY IS GUIDED BY THE FEDERAL TRAVEL REGULATIONS AS SUPPLEMENTED BY THE SMITHSONIAN'S TRAVEL HANDBOOK. THE ACCOUNTABLE PLAN FOR TRAVEL REIMBURSEMENTS MAINTAINED BY THE SMITHSONIAN MEETS IRS REQUIREMENTS, THEREFORE NO PORTION OF THIS TRAVEL WAS TREATED AS TAXABLE COMPENSATION.
PART II: COMPENSATION FROM AN UNRELATED ORGANIZATION OR INDIVIDUAL	NAME: CHARLES ALCOCK COMPENSATION FROM UNRELATED ORGANIZATION: 175,835 NAME OF UNRELATED ORGANIZATION: HARVARD UNIVERSITY

Additional Data

[Return to Form](#)

Software ID:

Software Version:

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

**Schedule K
(Form 990)**

Supplemental Information on Tax-Exempt Bonds

OMB No. 1545-0047

2021

**Open to Public
Inspection**

▶ **Complete if the organization answered "Yes" to Form 990, Part VI, line 24a. Provide descriptions, explanations, and any additional information in Part VI.**

▶ **Attach to Form 990.**

▶ **Go to www.irs.gov/Form990 for instructions and the latest information.**

Department of the Treasury
Internal Revenue Service

Name of the organization
SMITHSONIAN INSTITUTION

Employer identification number
53-0206027

Part I Bond Issues

(a) Issuer name	(b) Issuer EIN	(c) CUSIP #	(d) Date issued	(e) Issue price	(f) Description of purpose	(g) Defeased		(h) On behalf of issuer		(i) Pool financing	
						Yes	No	Yes	No	Yes	No
A FAIRFAX COUNTY ECONOMIC DEVELOPMENT AUTHORITY	54-0787833	30382ECZ5	12-03-2003	77,545,000	NEW CONSTRUCTION		X		X		X
B DISTRICT OF COLUMBIA	53-6001131	2548397S6	04-29-2010	33,825,749	REFUNDING OF 1997 BONDS		X		X		X

Part II Proceeds

	A		B		C		D	
1 Amount of bonds retired								
2 Amount of bonds legally defeased								
3 Total proceeds of issue	77,545,000		33,825,749					
4 Gross proceeds in reserve funds								
5 Capitalized interest from proceeds								
6 Proceeds in refunding escrows								
7 Issuance costs from proceeds	530,475		612,994					
8 Credit enhancement from proceeds	6,161							
9 Working capital expenditures from proceeds								
10 Capital expenditures from proceeds	77,008,364							
11 Other spent proceeds			33,212,755					
12 Other unspent proceeds								
13 Year of substantial completion	2003		2010					
	Yes	No	Yes	No	Yes	No	Yes	No
14 Were the bonds issued as part of a current refunding issue of tax-exempt bonds (or, if issued prior to 2020, a current refunding issue)?		X	X					
15 Were the bonds issued as part of an advance refunding issue of taxable bonds (or, if issued prior to 2020, an advance refunding issue)?		X		X				
16 Has the final allocation of proceeds been made?	X		X					
17 Does the organization maintain adequate books and records to support the final allocation of proceeds?	X		X					

Part III Private Business Use

	A		B		C		D	
	Yes	No	Yes	No	Yes	No	Yes	No
1 Was the organization a partner in a partnership, or a member of an LLC, which owned property financed by tax-exempt bonds?		X		X				
2 Are there any lease arrangements that may result in private business use of bond-financed property?		X		X				
3a Are there any management or service contracts that may result in private business use of bond-financed property?		X	X					
b If "Yes" to line 3a, does the organization routinely engage bond counsel or other outside counsel to review any management or service contracts relating to the financed property?			X					
c Are there any research agreements that may result in private business use of bond-financed property?		X		X				
d If "Yes" to line 3c, does the organization routinely engage bond counsel or other outside counsel to review any research agreements relating to the financed property?								
4 Enter the percentage of financed property used in a private business use by entities other than a section 501(c)(3) organization or a state or local government ▶								
5 Enter the percentage of financed property used in a private business use as a result of unrelated trade or business activity carried on by your organization, another section 501(c)(3) organization, or a state or local government ▶	0 %		1.940 %					
6 Total of lines 4 and 5	0 %		1.940 %					
7 Does the bond issue meet the private security or payment test?		X		X				
8a Has there been a sale or disposition of any of the bond-financed property to a nongovernmental person other than a 501(c)(3) organization since the bonds were issued?		X		X				
b If "Yes" to line 8a, enter the percentage of bond-financed property sold or disposed of.								
c If "Yes" to line 8a, was any remedial action taken pursuant to Regulations sections 1.141-12 and 1.145-2?								
9 Has the organization established written procedures to ensure that all nonqualified bonds of the issue are remediated in accordance with the requirements under Regulations sections 1.141-12 and 1.145-2?	X		X					

Part IV Arbitrage

	A		B		C		D	
	Yes	No	Yes	No	Yes	No	Yes	No
1 Has the issuer filed Form 8038-T, Arbitrage Rebate, Yield Reduction and Penalty in Lieu of Arbitrage Rebate?		X		X				
2 If "No" to line 1, did the following apply?								
a Rebate not due yet?		X		X				
b Exception to rebate?	X		X					
c No rebate due?		X		X				
If "Yes" to line 2c, provide in Part VI the date the rebate computation was performed								
3 Is the bond issue a variable rate issue?	X		X					

Part IV Arbitrage (Continued)

	A		B		C		D	
	Yes	No	Yes	No	Yes	No	Yes	No
4a Has the organization or the governmental issuer entered into a qualified hedge with respect to the bond issue?		X		X				
b Name of provider								
c Term of hedge								
d Was the hedge superintegrated?								
e Was the hedge terminated?								
5a Were gross proceeds invested in a guaranteed investment contract (GIC)?		X		X				
b Name of provider								
c Term of GIC								
d Was the regulatory safe harbor for establishing the fair market value of the GIC satisfied?								
6 Were any gross proceeds invested beyond an available temporary period?		X		X				
7 Has the organization established written procedures to monitor the requirements of section 148?	X		X					

Part V Procedures To Undertake Corrective Action

	A		B		C		D	
	Yes	No	Yes	No	Yes	No	Yes	No
Has the organization established written procedures to ensure that violations of federal tax requirements are timely identified and corrected through the voluntary closing agreement program if self-remediation is not available under applicable regulations?	X		X					

Part VI Supplemental Information. Provide additional information for responses to questions on Schedule K. (See instructions).

Return Reference	Explanation
SCHEDULE K, PART III, LINE 5	THE PERCENTAGE OF FINANCED PROPERTY USED IN PRIVATE BUSINESS USE AS A RESULT OF UNRELATED TRADE OR BUSINESS ACTIVITY IS BASED ON THE PERCENTAGE OF UNRELATED REVENUE IN THE GIFT SHOP WITHIN THE SPACE FINANCED BY THIS BOND ISSUE. THE PRIVATE BUSINESS USE FOR THE CURRENT WAS LESS THAN 5%. THE PRIVATE BUSINESS IS BEING MONITORED AND WILL REMAIN UNDER 5% FOR THE ENTIRE MEASUREMENT PERIOD (1998-2028).

Additional Data

[Return to Form](#)

Software ID:
Software Version:

Schedule L
(Form 990)

Transactions with Interested Persons

OMB No. 1545-0047

2021

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▶ **Complete if the organization answered "Yes" on Form 990, Part IV, lines 25a, 25b, 26, 27, 28a, 28b, or 28c, or Form 990-EZ, Part V, line 38a or 40b.**
▶ **Attach to Form 990 or Form 990-EZ.**

▶ **Go to www.irs.gov/Form990 for instructions and the latest information.**

Department of the Treasury
Internal Revenue Service

Name of the organization
SMITHSONIAN INSTITUTION

Employer identification number

53-0206027

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

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

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

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

Part II Loans to and/or From Interested Persons.

Complete if the organization answered "Yes" on Form 990-EZ, Part V, line 38a, or Form 990, Part IV, line 26; or if the organization reported an amount on Form 990, Part X, line 5, 6, or 22

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

Total ▶ \$ _____

Part III Grants or Assistance Benefiting Interested Persons.

Complete if the organization answered "Yes" on Form 990, Part IV, line 27.

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

Part IV Business Transactions Involving Interested Persons.

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

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of transaction	(d) Description of transaction	(e) Sharing of organization's revenues?	
				Yes	No
(1) MARIA MARABLE-BUNCH	WIFE OF L. BUNCH SECRETARY OF THE SMITHSONIAN INSTITUTION	164,169	ANNUAL COMPENSATION		No
(2) KIM BURBA	WIFE OF D. BURBA CHIEF INFORMATION OFFICER OF THE SMITHSONIAN INSTITUTION	103,817	ANNUAL COMPENSATION		No
(3) ROGER BRISSENDEN	FORMER KEY EMPLOYEE	161,359	CONSULTING SERVICES		No

Part V Supplemental Information

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

Return Reference

Explanation

Additional Data

[Return to Form](#)

Software ID:
Software Version:

**SCHEDULE M
(Form 990)**

Noncash Contributions

OMB No. 1545-0047

2021

**Open to Public
Inspection**

- ▶ **Complete if the organizations answered "Yes" on Form 990, Part IV, lines 29 or 30.**
- ▶ **Attach to Form 990.**
- ▶ **Go to www.irs.gov/Form990 for the latest information.**

Department of the Treasury
Internal Revenue Service

Name of the organization
SMITHSONIAN INSTITUTION

Employer identification number

53-0206027

Part I Types of Property

	(a) Check if applicable	(b) Number of contributions or items contributed	(c) Noncash contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining noncash contribution amounts
1 Art—Works of art	X	1,835		MARKET VALUE
2 Art—Historical treasures				
3 Art—Fractional interests	X	1		
4 Books and publications				
5 Clothing and household goods				
6 Cars and other vehicles				
7 Boats and planes				
8 Intellectual property				
9 Securities—Publicly traded	X	255	61,438,882	MARKET VALUE
10 Securities—Closely held stock				
11 Securities—Partnership, LLC, or trust interests				
12 Securities—Miscellaneous				
13 Qualified conservation contribution—Historic structures				
14 Qualified conservation contribution—Other				
15 Real estate—Residential				
16 Real estate—Commercial				
17 Real estate—Other				
18 Collectibles	X	1,678		MARKET VALUE
19 Food inventory				
20 Drugs and medical supplies				
21 Taxidermy				
22 Historical artifacts	X	1,771		MARKET VALUE
23 Scientific specimens	X	34,375		MARKET VALUE
24 Archeological artifacts	X	28		
25 Other ▶ (<u>GOODS</u>)	X	2	2,953	MARKET VALUE
26 Other (<u>ARCHIVAL</u>)	X	38	0	MARKET VALUE
▶ (<u>ITEMS</u>)				
27 Other (<u>ARCHIVAL</u>)	X	1,780	0	MARKET VALUE
▶ (<u>LINEAR FT</u>)				
28 Other (<u>ARCHIVAL</u>)	X	19,898	0	MARKET VALUE
▶ (<u>GB</u>)				

29 Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement **29** 68

	Yes	No
30a During the year, did the organization receive by contribution any property reported in Part I, lines 1 through 28, that it must hold for at least three years from the date of the initial contribution, and which isn't required to be used for exempt purposes for the entire holding period? If "Yes," describe the arrangement in Part II.		No
31 Does the organization have a gift acceptance policy that requires the review of any nonstandard contributions?	Yes	
32a Does the organization hire or use third parties or related organizations to solicit, process, or sell noncash contributions? If "Yes," describe in Part II.	Yes	
33 If the organization didn't report an amount in column (c) for a type of property for which column (a) is checked, describe in Part II.		

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

Return Reference	Explanation
PART I, COLUMN (B):	THIS COLUMN REPRESENTS THE NUMBER OF CONTRIBUTIONS, NOT THE NUMBER OF ITEMS RECEIVED.
PART I, LINE 32B:	ITEMS ARE SOLD THROUGH COMMERCIAL GALLERIES AND AUCTIONS HOUSES. INDIVIDUALS AND FIRMS ARE HIRED ON A CONTRACTUAL BASIS TO PROCESS ACQUISITIONS. ALTHOUGH THE SMITHSONIAN ACQUIRES COLLECTION ITEMS AND OBJECTS WITH THE GOOD FAITH INTENTION OF RETAINING THEM FOR AN INDEFINITE PERIOD OF TIME, PRUDENT COLLECTIONS MANAGEMENT INCLUDES JUDICIOUS CONSIDERATION OF APPROPRIATE DEACCESSIONING AND DISPOSAL TO REFINE AND IMPROVE THE QUALITY AND RELEVANCE OF THE COLLECTIONS WITH RESPECT TO THE SMITHSONIAN'S MISSION AND PURPOSE. WHEN OBJECTS ARE DEACCESSIONED FOR DISPOSAL BY SALE, THE SMITHSONIAN CONTRACTS WITH COMMERCIAL GALLERIES OR AUCTION HOUSES TO SELL THE OBJECTS IN ORDER TO ASSURE THE BEST RETURN FROM THE SALE.
PART I, LINE 33:	IN ACCORDANCE WITH PROFESSIONAL PRACTICE, AS ALLOWED BY SFAS 116, THE SMITHSONIAN DOES NOT ASSIGN VALUE TO COLLECTION ITEMS ACQUIRED BY DONATION.

Additional Data

Return to Form

Software ID:

Software Version:

SCHEDULE O
(Form 990)

Supplemental Information to Form 990 or 990-EZ

OMB No. 1545-0047

2021

Open to Public Inspection

Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.

▶ Go to www.irs.gov/Form990 for the latest information.

Department of the Treasury
Internal Revenue Service

Name of the organization
SMITHSONIAN INSTITUTION

Employer identification number

53-0206027

Return Reference	Explanation
FORM 990, PAGE 1, LINE K	THE SMITHSONIAN INSTITUTION IS A TRUST INSTRUMENTALITY OF THE U.S., CREATED BY CONGRESS; ORGANIZED PURSUANT TO 20 U.S.C. SEC. 41 ET SEQ. FORM 990, PAGE 1, LINE M STATE OF LEGAL DOMICILE: AS A TRUST INSTRUMENTALITY OF THE UNITED STATES, THE SMITHSONIAN INSTITUTION IS A FEDERAL ENTITY THAT IS NOT DOMICILED IN ANY STATE.
FORM 990, PART III, LINE 4A, PROGRAM SERVICE ACCOMPLISHMENTS:	EDUCATION, PUBLIC PROGRAMS AND EXHIBITIONS: AFTER THE SMITHSONIAN INTERMITTENTLY CLOSED ITS MUSEUMS DUE TO THE COVID-19 PANDEMIC, SMITHSONIAN MUSEUMS AND THE NATIONAL ZOO RETURNED TO A TRADITIONAL SCHEDULE OF SEVEN DAYS A WEEK. IN CONJUNCTION WITH LOCAL AND NATIONAL GUIDELINES, THE MUSEUMS ADHERED TO NEW HEALTH AND SAFETY PROTOCOLS TO PROTECT AGAINST THE SPREAD OF COVID-19. IN RESPONSE TO THE ONGOING GLOBAL PANDEMIC, THE SMITHSONIAN PRIORITIZED DIGITAL APPROACHES TO EDUCATION, PUBLIC PROGRAMS AND EXHIBITIONS. THE SMITHSONIAN DEVELOPED AND CURATED THE EDUCATIONAL RESOURCES STUDENTS, TEACHERS AND CAREGIVERS NEEDED TO SUPPORT DISTANCE LEARNING. AS PART OF THOSE EFFORTS, THE SMITHSONIAN PROVIDED EDUCATIONAL INTERACTIVES, DOCUMENTS AND IN-DEPTH LESSON PLANS THAT ALIGNED WITH COMMON CORE AND NATIONAL AND STATE STANDARDS. IN NOVEMBER 2021, THE ARTS AND INDUSTRIES BUILDING OPENED TO THE PUBLIC FOR THE FIRST TIME IN NEARLY TWO DECADES WITH THE PART-EXHIBITION, PART-FESTIVAL, "FUTURES." ON VIEW UNTIL JULY 2022, "FUTURES" WAS THE FIRST AND LARGEST EXPLORATION OF THE FUTURE ON THE NATIONAL MALL, WELCOMING NEARLY 650,000 VISITORS. THE LANDMARK MUSEUM EXPERIENCE PRODUCED DIGITAL INITIATIVES THAT INVITED PEOPLE OF ALL AGES FROM ACROSS THE GLOBE TO EXPERIENCE A RADICALLY IMAGINED FUTURE. TO ENGAGE AUDIENCES WORLDWIDE, THE NATIONAL MUSEUM OF AFRICAN AMERICAN HISTORY AND CULTURE (NMAAHC) LAUNCHED THE SEARCHABLE MUSEUM IN NOVEMBER 2021. THE INITIATIVE IS ONE OF THE MUSEUM'S LARGEST DIGITAL UNDERTAKINGS, USING EMERGING TECHNOLOGIES AND SCHOLARLY EXPERTISE TO BRING ONLINE EXHIBITIONS, VIRTUAL SYMPOSIA AND DIGITAL PROGRAMS TO AUDIENCES ACROSS THE GLOBE. IN JUNE 2022, THE NATIONAL MUSEUM OF THE AMERICAN LATINO OPENED THE MOLINA FAMILY LATINO GALLERY, THE FIRST GALLERY DEDICATED TO THE LATINO EXPERIENCE. HOUSED AT THE NATIONAL MUSEUM OF AMERICAN HISTORY, THE MOLINA FAMILY LATINO GALLERY GIVES THE PUBLIC A PREVIEW OF THE AMERICAN LATINO MUSEUM UNTIL THE MUSEUM OPENS. THE BILINGUAL GALLERY INCORPORATES UNIVERSAL PRINCIPLES OF INCLUSIVE DESIGN TO CREATE AN EMPOWERING VISITOR EXPERIENCE FOR THOSE WITH VARYING PHYSICAL, SENSORY AND COGNITIVE CONDITIONS. ITS FIRST EXHIBITION, "PRESENT! A LATINO HISTORY OF THE UNITED STATES," INTRODUCES VISITORS TO KEY CONCEPTS, MOMENTS AND BIOGRAPHIES THAT ILLUMINATE U.S. LATINOS' HISTORICAL AND CULTURAL LEGACIES. AFTER A TWO-YEAR HIATUS, THE SMITHSONIAN FOLKLIFE FESTIVAL RETURNED TO THE NATIONAL MALL WITH PUBLIC PROGRAMS, CONCERTS AND EVENTS. THE FESTIVAL, WHICH RAN IN JUNE AND JULY 2022, EXPLORED THE CULTURAL TRADITIONS OF THE UNITED ARAB EMIRATES (UAE) AND THE SMITHSONIAN'S EARTH OPTIMISM PROGRAM THROUGH TWO WEEKS OF WORKSHOPS, DEMONSTRATIONS, PERFORMANCES, FAMILY ACTIVITIES AND DISCUSSION SESSIONS HIGHLIGHTING THE IMPORTANCE OF CULTURE AND COMMUNITY IN CREATING A SUSTAINABLE FUTURE. IN JULY 2022, THE SMITHSONIAN HOSTED A FREE, TWO-DAY NATIONAL EDUCATION SUMMIT IN WASHINGTON, D.C. THE SUMMIT BROUGHT TOGETHER THOUSANDS OF TEACHERS, MUSEUM EDUCATORS, CURRICULUM SPECIALISTS, LIBRARIANS AND EDUCATION AGENCIES FROM ACROSS THE NATION TO DISCUSS KEY ISSUES IN EDUCATION AND EXPLORE LEARNING STRATEGIES WITH SMITHSONIAN EXPERTS AND COLLABORATORS.
FORM 990, PART III, LINE 4B, PROGRAM SERVICE ACCOMPLISHMENTS:	RESEARCH AND COLLECTIONS: THE SMITHSONIAN'S COLLECTIONS OF NEARLY 157 MILLION OBJECTS (ART, ARTIFACTS AND SCIENTIFIC SPECIMENS) ARE THE HEART OF THE INSTITUTION. RESEARCH, PUBLIC PROGRAMS AND EXHIBITIONS ARE BASED ON THESE COLLECTIONS, WHICH ADDITIONALLY INCLUDE MORE THAN 33 MILLION DIGITAL RECORDS OF ONLINE MATERIAL. CARE OF THE COLLECTIONS INVOLVES THE WORK OF REGISTRARS, CONSERVATORS, MUSEUM SPECIALISTS, DESIGNERS, CURATORS AND EDITORS. APPROXIMATELY 148 MILLION OBJECTS AND SPECIMENS ARE PART OF THE NATIONAL MUSEUM OF NATURAL HISTORY COLLECTIONS AND ARE PRIMARILY USED FOR RESEARCH BY BOTH SMITHSONIAN SCIENTISTS AND RESEARCHERS FROM AROUND THE WORLD. IN SOME CASES, THE MUSEUM HAS THE DEFINITIVE, IRREPLACEABLE COLLECTION OF A CERTAIN SPECIES WHICH IS ESSENTIAL FOR COMPARATIVE STUDIES. IN AN EFFORT TO SIGNIFICANTLY INCREASE THE NUMBER OF BLACK, LATINX, ASIAN AMERICAN, LGBTQ+, INDIGENOUS AND WOMEN ARTISTS REPRESENTED IN THE NATION'S COLLECTION, THE SMITHSONIAN AMERICAN ART MUSEUM'S RENWICK GALLERY ACQUIRED MORE THAN 200 OBJECTS FROM LEADING CRAFT ARTISTS ACROSS THE U.S. THE ACQUISITIONS CAMPAIGN-WHICH COINCIDED WITH THE RENICK'S 50TH ANNIVERSARY-DEEPENS THE HISTORY OF THE STUDIO CRAFT MOVEMENT AND REINFORCES THE RELEVANCY OF NATIONAL COLLECTIONS BY COLLECTING CONTEMPORARY ARTWORKS. IN JUNE 2022, A WHOOPING CRANE-ONE OF THE MOST ENDANGERED SPECIES OF CRANES IN THE WORLD-HATCHED AT THE SMITHSONIAN CONSERVATION BIOLOGY INSTITUTE (SCBI). THROUGH THEIR RESEARCH AT THE WHOOPING CRANE BREEDING FACILITY, SCIENTISTS AT SCBI CONTINUE TO PLAY A LEADING ROLE IN THE SMITHSONIAN'S GLOBAL EFFORTS TO SAVE WILDLIFE SPECIES FROM EXTINCTION AND TRAIN FUTURE GENERATIONS OF CONSERVATIONISTS. RESEARCHERS AT THE SMITHSONIAN TROPICAL RESEARCH CENTER DISCOVERED THAT COASTAL PLANTS AND ANIMALS CAN THRIVE IN THE OPEN OCEAN BY COLONIZING PLASTIC POLLUTION. SCIENTISTS OBSERVED COASTAL SPECIES HUNDREDS OF MILES OUT TO SEA IN THE NORTH PACIFIC SUBTROPICAL GYRE, COMMONLY KNOWN AS THE "GREAT PACIFIC GARBAGE PATCH." THE DISCOVERY SHOWS PREVIOUSLY UNTHINKABLE WAYS OF ADAPTABILITY IN THE OPEN OCEAN AND POSES QUESTIONS ABOUT THE POTENTIALLY HARMFUL EFFECTS ON THE EXISTING OCEAN ECOSYSTEMS. ASTRONOMERS AT THE CENTER FOR ASTROPHYSICS REVEALED THE FIRST IMAGE OF THE SUPERMASSIVE BLACK HOLE AT THE HEART OF THE MILKY WAY GALAXY. THIS BREAKTHROUGH PROVIDES VALUABLE CLUES ABOUT THE WORKINGS OF SUCH GIANTS, WHICH ARE THOUGHT TO RESIDE AT THE CENTER OF MOST GALAXIES. IT IS THE SECOND-EVER PICTURE CAPTURED OF A BLACK HOLE. SCIENTISTS AT THE NATIONAL MUSEUM OF NATURAL HISTORY DISCOVERED A NEW EXTINCT SPECIES OF A LIZARD-LIKE REPTILE THAT INHABITED JURASSIC NORTH AMERICA ABOUT 150 MILLION YEARS AGO. THE DISCOVERY OF OPISTHIAMIMUS GREGORI HELPS

Return Reference	Explanation
	COMPLETE THE EVOLUTIONARY HISTORY OF NEW ZEALAND'S LIVING TUATARA. THE RESEARCH BRINGS SCIENTISTS CLOSER TO UNDERSTANDING AN EVOLUTIONARY CHASM BETWEEN LIZARDS AND RHYNCHOCEPHALIANS, AN ORDER THAT DIVERGED FROM LIZARDS AT LEAST 230 MILLION YEARS AGO.
FORM 990, PART III, LINE 4C, PROGRAM SERVICE ACCOMPLISHMENTS:	MEMBERSHIP: THE NATIONAL ASSOCIATE PROGRAM IS THE INSTITUTION'S LARGEST AND MOST BASIC MEMBERSHIP PROGRAM. THE PROGRAM PROVIDES MEMBERS WITH SMITHSONIAN MAGAZINE, WHICH IS PUBLISHED 11 TIMES A YEAR. THE PRINT AND ONLINE PUBLICATION PROVIDES IN-DEPTH COVERAGE OF HISTORY, SCIENCE, NATURE, ART AND WORLD CULTURES. "FRIENDS OF THE SMITHSONIAN" IS A HIGHER-LEVEL MEMBERSHIP PROGRAM FOR PEOPLE INTERESTED IN A DEEP PHILANTHROPIC CONNECTION TO THE SMITHSONIAN. FRIENDS RECEIVE SMITHSONIAN MAGAZINE, PLUS THEY ARE INVITED TO VARIOUS EVENTS AND ARE GIVEN THE OPPORTUNITY TO LEARN ABOUT AND SUPPORT THE INSTITUTION'S EXHIBITIONS AND RESEARCH. THE SMITHSONIAN ASSOCIATES IS A SELF-SUPPORTING MEMBERSHIP PROGRAM WHICH PRODUCES INFORMATIVE, ENLIGHTENING, ENTERTAINING, AND INSIGHTFUL PROGRAMS INSPIRED BY AND GOING BEYOND SMITHSONIAN RESEARCH, COLLECTIONS AND EXHIBITIONS. PROGRAMS ENGAGE AUDIENCES FROM PRE-K TO POST-RETIREMENT WHO HAVE KEEN INTEREST IN FURTHERING THEIR UNDERSTANDING OF THE ARTS AND SCIENCES, THE PAST, PRESENT, AND FUTURE OF WORLD CULTURES. THE LARGEST MUSEUM-BASED EDUCATIONAL PROGRAM IN THE WORLD, SMITHSONIAN ASSOCIATES ANNUALLY PRODUCES MORE THAN 1,000 ONLINE AND IN-PERSON SEMINARS AND LECTURES, MULTI-PART COURSES, STUDIO ARTS CLASSES, STUDY TOURS, CONCERTS AND CHILDREN'S PROGRAMS. PERFORMANCES AT DISCOVERY THEATER AND SUMMER CAMPS ON THE NATIONAL MALL ARE AMONG THE PROGRAMS THAT FOSTER THE JOYS OF LEARNING FOR YOUNG PEOPLE. SMITHSONIAN ASSOCIATES HAS CONTINUED TO EXPAND ITS VIRTUAL PROGRAMMING TO INCREASE ENGAGEMENT WITH NATIONAL AND INTERNATIONAL AUDIENCES. NOTABLE GUESTS INCLUDED PRIMATOLOGIST FRANS DE WAAL, ACTOR AND WRITER KAL PENN, PULITZER-PRIZE WINNER AUTHOR GERALDINE BROOKS, BEST-SELLING AUTHOR JODI PICOULT, AND CHEFS J. KENJI LOPEZ-ALT, CHRISTOPHER KIMBALL AND PATI JINICH.
FORM 990, PART IV, LINE 12B	THE SMITHSONIAN'S AUDITED FINANCIAL STATEMENTS ARE INCLUDED IN THE UNITED STATES GOVERNMENT'S CONSOLIDATED AUDITED FINANCIAL STATEMENTS.
FORM 990, PART VI, SECTION A, LINE 1A	THE BYLAWS OF THE ORGANIZATION DELEGATE AUTHORITY TO THE EXECUTIVE COMMITTEE TO ACT ON BEHALF OF THE BOARD OF REGENTS WHEN THE BOARD OF REGENTS IS NOT IN SESSION. THE BOARD OF REGENTS ELECTS FROM ITS MEMBERS AN EXECUTIVE COMMITTEE CONSISTING OF THREE MEMBERS. THE EXECUTIVE COMMITTEE HAS AND MAY EXERCISE ALL POWERS OF THE BOARD OF REGENTS WHEN THE BOARD OF REGENTS IS NOT IN SESSION, EXCEPT THOSE EXPRESSLY RESERVED TO ITSELF BY THE BOARD OF REGENTS, PROVIDED THAT ALL SUCH PROCEEDINGS ARE REPORTED TO THE GOVERNANCE AND NOMINATING COMMITTEE AND THE BOARD OF REGENTS ON A REGULAR BASIS. THE CHAIR OF THE BOARD SERVES AS CHAIR OF THE EXECUTIVE COMMITTEE. THE VICE CHAIR OF THE BOARD SERVES AS A MEMBER OF THE EXECUTIVE COMMITTEE.
FORM 990, PART VI, SECTION A, LINE 7A	PURSUANT TO FEDERAL STATUTE, THE BOARD OF REGENTS CONSISTS OF THE VICE PRESIDENT OF THE UNITED STATES, THE CHIEF JUSTICE OF THE UNITED STATES, THREE MEMBERS OF THE U.S. SENATE, THREE MEMBERS OF THE U.S. HOUSE OF REPRESENTATIVES, AND NINE ADDITIONAL CITIZEN REGENTS. THE THREE SENATORS ARE APPOINTED BY THE PRESIDENT PRO TEMPORE OF THE U.S. SENATE, AND THE THREE MEMBERS OF THE HOUSE OF REPRESENTATIVES ARE APPOINTED BY THE SPEAKER OF THE HOUSE OF REPRESENTATIVES. THEIR APPOINTMENT TERMS COINCIDE WITH THE TERMS FOR WHICH THEY ARE ELECTED, AND THEY MAY BE REAPPOINTED IF RE-ELECTED. THE CITIZEN REGENTS ARE NOMINATED BY THE BOARD OF REGENTS, AND APPOINTED BY A JOINT RESOLUTION OF CONGRESS WHICH IS SIGNED BY THE PRESIDENT OF THE UNITED STATES.
FORM 990, PART VI, SECTION B, LINE 11B	THE FORM 990 RETURN IS REVIEWED BY THE CONTROLLER OF SMITHSONIAN, THE OFFICE OF GENERAL COUNSEL, CHIEF OPERATING OFFICER AND THE SECRETARY OF THE SMITHSONIAN. THE RETURN IS ALSO REVIEWED BY AN INDEPENDENT ACCOUNTING FIRM. AFTER THIS REVIEW PROCESS, THE 990 IS MADE AVAILABLE TO THE FULL BOARD FOR ITS REVIEW AND COMMENT. THE AUDIT & REVIEW COMMITTEE CONDUCTS A FINAL REVIEW OF THE RETURN AT A REGULARLY SCHEDULED COMMITTEE MEETING PRIOR TO ITS FILING.
FORM 990, PART VI, SECTION B, LINE 12C	ALL OFFICERS, KEY EMPLOYEES, AND CERTAIN OTHER EMPLOYEES ARE REQUIRED TO COMPLETE AND FILE ANNUALLY A CONFIDENTIAL FINANCIAL DISCLOSURE REPORT. THESE REPORTS - WHICH REQUIRE DISCLOSURE OF CERTAIN ASSETS, EARNED INCOME, LIABILITIES, OUTSIDE POSITIONS, OUTSIDE CONTRACTS AND AGREEMENTS, GIFTS, HOSPITALITY, REIMBURSEMENTS, AND OTHER INTERESTS RELATED TO THE EMPLOYEE'S SMITHSONIAN POSITION - ARE REVIEWED BY THE INSTITUTION'S OFFICE OF GENERAL COUNSEL FOR COMPLIANCE WITH APPLICABLE CONFLICT OF INTEREST POLICIES AND LAWS. IN ADDITION TO THIS REQUIRED REPORTING, ALL KEY EMPLOYEES ARE REQUIRED TO COMPLY WITH THE INSTITUTION'S STANDARDS OF CONDUCT, WHICH, AMONG OTHER THINGS, REQUIRES THAT EMPLOYEES NOT ENGAGE IN PRIVATE OR PERSONAL ACTIVITIES THAT MIGHT CONFLICT OR APPEAR TO CONFLICT WITH SMITHSONIAN INTERESTS, REQUIRES THAT EMPLOYEES OBTAIN OFFICE OF GENERAL COUNSEL APPROVAL BEFORE ENGAGING IN AN OUTSIDE ACTIVITY FOR COMPENSATION, AND REQUIRES EMPLOYEES TO CONSULT WITH THE OFFICE OF GENERAL COUNSEL WHENEVER A DOUBT EXISTS AS TO WHETHER AN ACTIVITY OR PLANNED ACTIVITY VIOLATES THE STANDARDS. ALL MEMBERS OF THE SMITHSONIAN'S GOVERNING BODY ARE REQUIRED TO COMPLETE AND FILE ANNUALLY THE BOARD OF REGENTS ANNUAL DISCLOSURE STATEMENT. THESE STATEMENTS - WHICH REQUIRE REPORTING BY MEMBERS (INCLUDING ANY REPORTABLE INTERESTS HELD BY IMMEDIATE FAMILY OF MEMBERS) ON OUTSIDE POSITIONS AND SUBSTANTIAL SHAREHOLDING IN FOR-PROFIT BUSINESS ENTITIES, OUTSIDE POSITIONS IN NON-PROFIT ENTITIES, AND INTERESTS AND AFFILIATIONS OF THE MEMBER THAT HAVE OR SOUGHT TO HAVE A RELATIONSHIP TO THE SMITHSONIAN - ARE REVIEWED BY THE INSTITUTION'S GENERAL COUNSEL FOR COMPLIANCE WITH APPLICABLE CONFLICT OF INTEREST POLICIES AND LAWS. IN ADDITION TO THIS REQUIRED REPORTING, ALL MEMBERS OF THE SMITHSONIAN'S GOVERNING BODY ARE REQUIRED TO COMPLY WITH THE BOARD OF REGENTS ETHICS GUIDELINES, WHICH, AMONG OTHER THINGS, DEFINE CONFLICTS OF INTEREST AND ESTABLISH PROCEDURES FOR DISCLOSING AND REPORTING OF CONFLICTS AND RECUSAL FROM DECISION-MAKING.
FORM 990, PART VI, SECTION B, LINE 15	THE SMITHSONIAN ENSURES THAT COMPENSATION PAID TO OFFICERS AND OTHER KEY EMPLOYEES IS REASONABLE AND COMPARABLE TO SIMILAR ORGANIZATIONS. EMPLOYEES OF THE SMITHSONIAN MAY BE PAID WITH FEDERALLY APPROPRIATED FUNDS OR WITH NONFEDERAL ("TRUST") FUNDS. MOST TRUST FUNDED (NONFEDERAL) OFFICER AND KEY EMPLOYEE POSITIONS ARE SUBJECT TO MARKET-BASED COMPENSATION, AND THE BOARD OF REGENT'S COMMITTEE ON COMPENSATION AND HUMAN RESOURCES ENGAGES AN INDEPENDENT

Return Reference	Explanation
	CONSULTANT TO DEVELOP AND ASSEMBLE COMPARABILITY DATA FOR ITS CONSIDERATION AND TO INFORM ITS DECISIONS. THE COMMITTEE'S ANNUAL DELIBERATIONS AND DECISIONS ARE DOCUMENTED AS PART OF THE FINAL RECOMMENDATION MATERIALS SUBMITTED TO THE BOARD OF REGENTS. SALARIES FOR FEDERAL EMPLOYEES ARE DETERMINED BY STATUTORILY ESTABLISHED PAY RANGES FOR CIVIL SERVICE EMPLOYEES. AS A MATTER OF POLICY, THE SMITHSONIAN HAS ESTABLISHED SIMILAR RANGES FOR CERTAIN TRUST FUNDED OFFICER AND KEY EMPLOYEE POSITIONS AND MAINTAINS THOSE RANGES IN PROPORTION TO THE APPROPRIATE FEDERAL PAY RANGES.
FORM 990, PART VI, SECTION C, LINE 19	THE SMITHSONIAN MAKES ITS GOVERNING DOCUMENTS, STATEMENT OF VALUES AND CODE OF ETHICS, AND AUDITED FINANCIAL STATEMENTS AVAILABLE ON ITS PUBLIC WEBSITE (WWW.SI.EDU). DOCUMENTS MAY ALSO BE VIEWED AT THE OFFICE OF FINANCE AND ACCOUNTING OR MAILED.
FORM 990, PART XI, LINE 9:	PROCEEDS FROM SALES OF COLLECTIONS -109,682.
FORM 990, PART XII, LINE 2B	THE SMITHSONIAN INSTITUTION IS SEPARATELY AUDITED. THE SMITHSONIAN INSTITUTION'S AUDITED FINANCIAL STATEMENTS ARE INCLUDED IN THE UNITED STATES GOVERNMENT'S CONSOLIDATED AUDITED FINANCIAL STATEMENTS.

Additional Data

Return to Form

Software ID:

Software Version:

**SCHEDULE R
(Form 990)**

Related Organizations and Unrelated Partnerships

OMB No. 1545-0047
2021
Open to Public Inspection

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

Department of the Treasury
Internal Revenue Service

Name of the organization
SMITHSONIAN INSTITUTION

Employer identification number
53-0206027

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

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

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

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled entity?	
						Yes	No
(1)CLAY FELLOWSHIPS CHARITABLE TRUST 10 MEMORIAL BOULEVARD PROVIDENCE, RI 02903 04-3560268	SUPPORT OF SMITHSONIAN ASTROPHYSICAL OBSERVATORY	MA	501(C)(3)	12 TYPE III-O	N/A		No

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

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Predominant income(related, unrelated, excluded from tax under sections 512-514)	(f) Share of total income	(g) Share of end-of-year assets	(h) Disproportionate allocations?		(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?		(k) Percentage ownership
							Yes	No		Yes	No	
(1) BLACKBIRD 1846 ENERGY FUND LP 10000 MEMORIAL DRIVE SUITE 550 HOUSTON, TX 77024 47-3887280	INVESTMENTS	DE	BLACKBIR D 1846 ENERGY FUND GP LP	EXCLUDED	-55,448	981,419		No			No	100.000 %

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

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of-year assets	(h) Percentage ownership	(i) Section 512(b) (13) controlled entity?	
								Yes	No
(1) CHARITABLE REMAINDER TRUSTS (2) 1000 JEFFERSON DRIVE SW WASHINGTON, DC 20560	CHARITABLE REMAINDER TRUST	DC	N/A	T				Yes	
(2) CHARITABLE REMAINDER TRUSTS (2) 1000 JEFFERSON DRIVE SW WASHINGTON, DC 20560	CHARITABLE REMAINDER TRUST	MA	N/A	T				Yes	
(3) CHARITABLE REMAINDER TRUSTS (1) 1000 JEFFERSON DRIVE SW WASHINGTON, DC 20560	CHARITABLE REMAINDER TRUST	MI	N/A	T				Yes	
(4) CHARITABLE REMAINDER TRUSTS (5) 1000 JEFFERSON DRIVE SW WASHINGTON, DC 20560	CHARITABLE REMAINDER TRUST	NY	N/A	T				Yes	
(5) CHARITABLE REMAINDER TRUSTS (3) 1000 JEFFERSON DRIVE SW WASHINGTON, DC 20560	CHARITABLE REMAINDER TRUST	VA	N/A	T				Yes	
(6) REVETAS SIV I LP 1 ROYAL PLAZA ROYAL AVENUE ST PETER PORT GY1 2HL GK	INVESTMENTS	GK	REVETAS GP II LIMITED	C	192,252	2,993,966	100.000 %	Yes	
(7) FOUNDATION CREDIT OPPORTUNITIES OFFSHORE LTD PO BOX 309 UGLAND HOUSE GRAND CAYMAN KY1-1104 CJ	INVESTMENTS	CJ	N/A	T	-3,918,483	17,832,573	97.000 %	Yes	

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

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

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

- a** Receipt of **(i)** interest, **(ii)** annuities, **(iii)** royalties, or **(iv)** rent from a controlled entity
- b** Gift, grant, or capital contribution to related organization(s)
- c** Gift, grant, or capital contribution from related organization(s)
- d** Loans or loan guarantees to or for related organization(s)
- e** Loans or loan guarantees by related organization(s)
- f** Dividends from related organization(s)
- g** Sale of assets to related organization(s)
- h** Purchase of assets from related organization(s)
- i** Exchange of assets with related organization(s)
- j** Lease of facilities, equipment, or other assets to related organization(s)
- k** Lease of facilities, equipment, or other assets from related organization(s)
- l** Performance of services or membership or fundraising solicitations for related organization(s)
- m** Performance of services or membership or fundraising solicitations by related organization(s)
- n** Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)
- o** Sharing of paid employees with related organization(s)
- p** Reimbursement paid to related organization(s) for expenses
- q** Reimbursement paid by related organization(s) for expenses
- r** Other transfer of cash or property to related organization(s)
- s** Other transfer of cash or property from related organization(s)

	Yes	No
1a		No
1b		No
1c	Yes	
1d		No
1e		No
1f		No
1g		No
1h		No
1i		No
1j		No
1k		No
1l		No
1m		No
1n		No
1o		No
1p		No
1q		No
1r	Yes	
1s	Yes	

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

(a) Name of related organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved

Part VII Supplemental Information

Provide additional information for responses to questions on Schedule R. See instructions.

Return Reference**Explanation**

Schedule R (Form 990) 2021

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