

Form **990**

**Return of Organization Exempt From Income Tax**  
Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

OMB No. 1545-0047

**2013**

Department of the Treasury  
Internal Revenue Service

Do not enter Social Security numbers on this form as it may be made public.  
Information about Form 990 and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)

Open to Public Inspection

**A For the 2013 calendar year, or tax year beginning** OCT 1, 2013 **and ending** SEP 30, 2014

<b>B</b> Check if applicable: <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	<b>C Name of organization</b>		<b>D Employer identification number</b>	
	Smithsonian Institution		53-0206027	
	Doing Business As			
	Number and street (or P.O. box if mail is not delivered to street address) Room/suite		<b>E Telephone number</b>	
1000 Jefferson Drive, S. W.		202 633-1000		
City or town, state or province, country, and ZIP or foreign postal code		<b>G Gross receipts \$</b> 1,642,484,221.		
Washington, DC 20560		<b>H(a) Is this a group return for subordinates?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>F Name and address of principal officer:</b> Dr. David J. Skorton		<b>H(b) Are all subordinates included?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		
1000 Jefferson Dr, SW, Washington, DC 20560		If "No," attach a list. (see instructions)		
<b>I Tax-exempt status:</b> <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) ( ) (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527		<b>H(c) Group exemption number</b> ▶		
<b>J Website:</b> ▶ www.si.edu				
<b>K Form of organization:</b> <input type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input checked="" type="checkbox"/> Other ▶ Sch O		<b>L Year of formation:</b> 1846		
		<b>M State of legal domicile:</b>		

**Part I Summary**

<b>Activities &amp; Governance</b>	<b>1</b> Briefly describe the organization's mission or most significant activities: "Increase and diffusion of knowledge" is the mission set forth by James Smithson.		
	<b>2</b> Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	<b>3</b>	Number of voting members of the governing body (Part VI, line 1a)	17
	<b>4</b>	Number of independent voting members of the governing body (Part VI, line 1b)	17
	<b>5</b>	Total number of individuals employed in calendar year 2013 (Part V, line 2a)	6736
	<b>6</b>	Total number of volunteers (estimate if necessary)	5451
	<b>7a</b>	Total unrelated business revenue from Part VIII, column (C), line 12	14,525,079.
<b>7b</b>	Net unrelated business taxable income from Form 990-T, line 34	-2,008,036.	
<b>Revenue</b>	<b>8</b>	Contributions and grants (Part VIII, line 1h)	Prior Year: 1,120,530,769. Current Year: 1,190,256,002.
	<b>9</b>	Program service revenue (Part VIII, line 2g)	97,940,513. 100,635,585.
	<b>10</b>	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	92,511,140. 98,427,515.
	<b>11</b>	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	60,604,609. 63,091,363.
	<b>12</b>	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	1,371,587,031. 1,452,410,465.
<b>Expenses</b>	<b>13</b>	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	16,574,449. 17,165,104.
	<b>14</b>	Benefits paid to or for members (Part IX, column (A), line 4)	0. 0.
	<b>15</b>	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	605,995,552. 614,452,414.
	<b>16a</b>	Professional fundraising fees (Part IX, column (A), line 11e)	7,065,864. 5,934,928.
	<b>b</b>	Total fundraising expenses (Part IX, column (D), line 25)	39,855,892.
	<b>17</b>	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	532,694,000. 535,528,876.
	<b>18</b>	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	1,162,329,865. 1,173,081,322.
<b>19</b>	Revenue less expenses. Subtract line 18 from line 12	209,257,166. 279,329,143.	
<b>Net Assets or Fund Balances</b>	<b>20</b>	Total assets (Part X, line 16)	Beginning of Current Year: 4,046,308,079. End of Year: 4,399,539,233.
	<b>21</b>	Total liabilities (Part X, line 26)	805,065,458. 811,435,593.
	<b>22</b>	Net assets or fund balances. Subtract line 21 from line 20	3,241,242,621. 3,588,103,640.

**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. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

<b>Sign Here</b>	Signature of officer	Date			
	Albert Horvath, Chief Financial Officer	7/29/15			
<b>Paid Preparer Use Only</b>	Print/Type preparer's name	Preparer's signature	Date	Check if self-employed <input type="checkbox"/>	PTIN
	Margaret A. Bradshaw	Margaret A. Bradshaw	7/31/15		P00501222
	Firm's name ▶ KPMG LLP	Firm's EIN ▶	13-5565207		
	Firm's address ▶ 1676 International Drive McLean, VA 22102	Phone no. (703) 286-8000			

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 [X]

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 [X] 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 [X] 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 \$ 411,866,682. including grants of \$ 16,035,241. ) (Revenue \$ 35,566,056. ) 4A Research and Collections (See Schedule O)

4b (Code: ) (Expenses \$ 424,205,656. including grants of \$ 1,129,863. ) (Revenue \$ 48,175,629. ) 4B Education, Public Programs and Exhibitions (See Schedule O)

4c (Code: ) (Expenses \$ 80,110,623. including grants of \$ ) (Revenue \$ 66,127,653. ) 4C Membership (See Schedule O)

4d Other program services (Describe in Schedule O.) (Expenses \$ including grants of \$ ) (Revenue \$ )

4e Total program service expenses 916,182,961.

**Part IV Checklist of Required Schedules**

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

**Part IV Checklist of Required Schedules** (continued)

		Yes	No
21	Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or government on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II</i> .....	X	
22	Did the organization report more than \$5,000 of grants or other assistance to individuals in the United States on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i> .....	X	
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> .....	X	
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> .....	X	
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? .....		X
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? .....		X
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? .....		X
25a	<b>Section 501(c)(3) and 501(c)(4) organizations.</b> 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> .....		X
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> .....		X
26	Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? If so, complete Schedule L, Part II .....		X
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III</i> .....		X
28	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):		
a	A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> .....		X
b	A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> .....		X
c	An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV</i> .....		X
29	Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i> .....	X	
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i> .....	X	
31	Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i> .....		X
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> .....		X
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? <i>If "Yes," complete Schedule R, Part I</i> .....		X
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> .....	X	
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)? .....		X
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> .....		
36	<b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i> .....		X
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> .....		X
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? .....	X	

**Note.** All Form 990 filers are required to complete Schedule O .....

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

Main form table with columns for question number, description, sub-questions (1a-14b), Yes, and No. Includes questions about Form 1096, Form W-2G, Form W-3, and various tax compliance items.

Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 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 [X]

Section A. Governing Body and Management

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

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

Section C. Disclosure

- 17 List the states with which a copy of this Form 990 is required to be filed None
18 Section 6104 requires an organization to make its Forms 1023 (or 1024 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. [X] Own website [ ] Another's website [X] Upon request [ ] Other (explain in Schedule O)
19 Describe in Schedule O whether (and if so, how), the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.
20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization: Jean Garvin - 202-633-7218 2011 Crystal Dr., Arlington, VA 22202

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

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

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

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

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

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

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 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)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(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 Roberts, Jr. Regent	0.50	X						0.	0.	0.
(2) Honorable Joseph Biden Regent	0.50	X						0.	0.	0.
(3) Honorable Xavier Becerra Regent	2.00	X						0.	0.	0.
(4) Honorable Thad Cochran Regent	2.00	X						0.	0.	0.
(5) Honorable Thomas Cole Regent	2.00	X						0.	0.	0.
(6) Honorable Sam Johnson Regent	2.00	X						0.	0.	0.
(7) Honorable Patrick Leahy Regent	2.00	X						0.	0.	0.
(8) Honorable Jack Reed Regent	2.00	X						0.	0.	0.
(9) Ms. Barbara Barrett Regent	2.00	X						0.	0.	0.
(10) Mr. Steve Case Regent	2.00	X						0.	0.	0.
(11) Dr. France Cordova Regent (10/1/13-3/13/14)	16.00	X						0.	0.	0.
(12) Mr. John Fahey Regent (2/21/14-present)	2.00	X						0.	0.	0.
(13) Dr. Shirley Ann Jackson Regent	4.00	X						0.	0.	0.
(14) Mr. Robert Kogod Regent	2.00	X						0.	0.	0.
(15) Dr. Risa Lavizzo-Mourey Regent (2/21/14-present)	2.00	X						0.	0.	0.
(16) Mr. Michael M. Lynton Regent (9/29/14-present)	2.00	X						0.	0.	0.
(17) Mr. John McCarter Regent	16.00	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 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)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(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) Mr. David Rubenstein Regent	2.00	X						0.	0.	0.
(19) Mr. Roger Sant Regent (10/1-24/13)	2.00	X						0.	0.	0.
(20) Ms. Patricia Stonesifer Regent (10/1-12/21/13)	4.00	X						0.	0.	0.
(21) G. Wayne Clough Secretary	50.00			X				531,231.	0.	39,324.
(22) Ebin Christensen(11/3/13-7/12/1 Acting Inspector General	50.00			X				93,274.	0.	18,245.
(23) Scott Dahl (thru 11/2/13) Inspector General	50.00			X				175,738.	0.	24,542.
(24) Cathy Helm (7/13/14-present) Inspector General	50.00			X				0.	0.	0.
(25) Albert Horvath Under Sec - Fin & Adm/CFO	50.00			X				367,162.	0.	54,505.
(26) John Lapiana (thru 12/1/13) Chief of Staff - Regents	50.00			X				180,927.	0.	30,750.
<b>1b Sub-total</b>								1,348,332.	0.	167,366.
<b>c Total from continuation sheets to Part VII, Section A</b>								6,848,684.	0.	963,560.
<b>d Total (add lines 1b and 1c)</b>								8,197,016.	0.	1,130,926.

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 **1,285**

	Yes	No
3 Did the organization list any former officer, director, or trustee, key employee, or highest compensated employee on line 1a? If "Yes," complete Schedule J for such individual	X	
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? If "Yes," complete Schedule J for such individual	X	
5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If "Yes," complete Schedule J for such person		X

**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
Clark/Smoot/Russell, A Joint Venture, 7500 Old Georgetown Road, Bethesda, MD 20814 Grunley Construction Company	Construction	58,304,570.
888 17th Street NW, Washington, DC 20006 Hensel Phelps Construction Company, 4437 Brookefield Corp. Dr., Chantilly, VA 20151 E.W. Howell Company	Construction	21,835,527.
245 Newtown Road, #600, Plainview, NY 11803 Freelon Group, 5310 S Alston Ave. #300, 5310 S alston Ave. #300, Durham, NC	Construction	20,561,679.
	Construction	14,965,314.
	Construction	9,363,479.

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 **465**

See Part VII, Section A Continuation sheets



**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 line)	(C) Position (check all that apply)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(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			
(27) Judith Leonard General Counsel	50.00			X				177,582.	0.	31,260.
(28) Porter Wilkinson (12/2/13-present) Chief of Staff - Regents	50.00			X				6,911.	0.	0.
(29) Sudeep Anand (thru 12/31/13) Treasurer	50.00				X			221,710.	0.	41,892.
(30) Nancy Bechtol Director - Facilities	50.00				X			175,287.	0.	24,348.
(31) Gregory Bokman (thru 9/30/13) CFO-Smithsonian Enterprises	50.00				X			329,521.	0.	35,941.
(32) Claudine Brown Asst Sec - Education and Access	50.00				X			245,134.	0.	67,242.
(33) Deron Burba Chief Information Officer	50.00				X			184,741.	0.	39,019.
(34) Amy Chen Chief Investment Officer	50.00				X			430,372.	0.	34,843.
(35) Virginia Clark Director - Advancement & Giving	50.00				X			331,039.	0.	54,505.
(36) Bruce Dauer VP Finance/Adm - (SE)	50.00				X			218,180.	0.	31,489.
(37) James Douglas Dir - Office of Human Resources	50.00				X			183,309.	0.	29,364.
(38) Richard Kurin Under Sec - History, Art & Culture	50.00				X			294,033.	0.	53,280.
(39) Christopher Liedel President - Smithsonian Enterprises	50.00				X			512,899.	0.	56,745.
(40) Evelyn Lieberman Director - Comm & External Affairs	50.00				X			196,816.	0.	26,066.
(41) Era Marshall Dir-Equal Emplmt & Minority Affairs	50.00				X			164,004.	0.	15,320.
(42) Mary Payne Director - Office of Govt Relations	50.00				X			183,980.	0.	31,796.
(43) Eva Pell (thru 3/22/14) Under Secretary - Science	50.00				X			318,940.	0.	39,910.
(44) David Voyles Director - OPMB	50.00				X			169,344.	0.	13,868.
(45) Michael Caruso Editor in Chief - (SE)	50.00					X		342,107.	0.	58,330.
(46) John Dailey Director - NASM	50.00					X		295,042.	0.	36,145.
Total to Part VII, Section A, line 1c										

**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 line)	(C) Position (check all that apply)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(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			
(47) Edward Howell SVP Retail-Smithsonian Enterprises	50.00					X		312,708.	0.	55,860.
(48) Kirk Johnson Director - NMNH	50.00					X		303,636.	0.	49,995.
(49) Carol LeBlanc SVP Consumer & Educ Products - (SE)	50.00					X		303,700.	0.	41,875.
(50) Michael Pickett Former Acting Inspector General	50.00						X	135,761.	0.	8,015.
(51) Marsha Shaines Former Acting General Counsel	50.00						X	165,063.	0.	8,185.
(52) Charles R. Alcock Former Acting Under Sec - Science	50.00						X	149,214.	0.	20,367.
(53) Kenneth Johnson Former Acting Director - OPMB	50.00						X	174,736.	0.	8,237.
(54) Scott Miller Former Acting Under Sec - Science	50.00						X	163,596.	0.	25,198.
(55) Andrew Zino (thru 6/15/13) Former Comptroller	50.00						X	159,319.	0.	24,465.
Total to Part VII, Section A, line 1c								6,848,684.		963,560.

**Part VIII Statement of Revenue**

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

			(A)	(B)	(C)	(D)	
			Total revenue	Related or exempt function revenue	Unrelated business revenue	Revenue excluded from tax under sections 512 - 514	
Contributions, Gifts, Grants and Other Similar Amounts	<b>1 a</b> Federated campaigns	<b>1a</b> 57,242.					
	<b>b</b> Membership dues	<b>1b</b> 12,910,983.					
	<b>c</b> Fundraising events	<b>1c</b> 2,170,323.					
	<b>d</b> Related organizations	<b>1d</b> 18,861.					
	<b>e</b> Government grants (contributions)	<b>1e</b> 996,826,671.					
	<b>f</b> All other contributions, gifts, grants, and similar amounts not included above	<b>1f</b> 178,271,922.					
	<b>g</b> Noncash contributions included in lines 1a-1f: \$	10,850,591.					
	<b>h Total.</b> Add lines 1a-1f		1,190,256,002.				
	Program Service Revenue	<b>Business Code</b>					
<b>2 a</b> Visitors/Members/Emplo		900099	42,342,800.	26,181,805.		16,160,995.	
<b>b</b> Subscriptions-magazine		511120	37,477,378.	37,477,378.			
<b>c</b> Tours/Classes		900099	9,365,729.	9,352,624.	13,105.		
<b>d</b> Theater Income		711110	8,404,947.	8,281,105.	123,842.		
<b>e</b> Traveling Exhibitions		900099	2,944,731.	2,944,731.			
<b>f</b> All other program service revenue		900099	100,000.		100,000.		
<b>g Total.</b> Add lines 2a-2f			100,635,585.				
Other Revenue	<b>3</b> Investment income (including dividends, interest, and other similar amounts)		22,472,173.			22,472,173.	
	<b>4</b> Income from investment of tax-exempt bond proceeds						
	<b>5</b> Royalties		12,841,623.			12,841,623.	
	<b>6 a</b> Gross rents	(i) Real					
		(ii) Personal					
		<b>b</b> Less: rental expenses					
		<b>c</b> Rental income or (loss)					
	<b>d</b> Net rental income or (loss)						
	<b>7 a</b> Gross amount from sales of assets other than inventory	(i) Securities	242,939,961.				
		(ii) Other	262,659.				
		<b>b</b> Less: cost or other basis and sales expenses	167,247,278.	0.			
		<b>c</b> Gain or (loss)	75,692,683.	262,659.			
	<b>d</b> Net gain or (loss)		75,955,342.	262,659.		75,692,683.	
	<b>8 a</b> Gross income from fundraising events (not including \$ 2,170,323. of contributions reported on line 1c). See Part IV, line 18	<b>a</b>	358,909.				
		<b>b</b> Less: direct expenses	<b>b</b> 870,564.				
<b>c</b> Net income or (loss) from fundraising events			-511,655.			-511,655.	
<b>9 a</b> Gross income from gaming activities. See Part IV, line 19	<b>a</b>						
	<b>b</b> Less: direct expenses	<b>b</b>					
	<b>c</b> Net income or (loss) from gaming activities						
<b>10 a</b> Gross sales of inventory, less returns and allowances	<b>a</b>	58,781,865.					
	<b>b</b> Less: cost of goods sold	<b>b</b> 21,955,914.					
	<b>c</b> Net income or (loss) from sales of inventory		36,825,951.	34,945,621.	1,880,330.		
<b>Miscellaneous Revenue</b>		<b>Business Code</b>					
<b>11 a</b> Magazine/Website Adver	541800	12,407,802.		12,407,802.			
<b>b</b> Restitution (PMI)	900099	1,527,642.			1,527,642.		
<b>c</b>							
<b>d</b> All other revenue							
<b>e Total.</b> Add lines 11a-11d		13,935,444.					
<b>12 Total revenue.</b> See instructions.		1,452,410,465.	119,445,923.	14,525,079.	128,183,461.		

**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
<b>1</b> Grants and other assistance to governments and organizations in the United States. See Part IV, line 21	279,207.	279,207.		
<b>2</b> Grants and other assistance to individuals in the United States. See Part IV, line 22	11,854,024.	11,854,024.		
<b>3</b> Grants and other assistance to governments, organizations, and individuals outside the United States. See Part IV, lines 15 and 16	5,031,873.	5,031,873.		
<b>4</b> Benefits paid to or for members				
<b>5</b> Compensation of current officers, directors, trustees, and key employees	6,761,603.	1,840,510.	4,519,525.	401,568.
<b>6</b> Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)	3,918,134.	3,582,421.	335,713.	
<b>7</b> Other salaries and wages	464,758,577.	338,974,460.	107,676,202.	18,107,915.
<b>8</b> Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	57,143,242.	40,412,252.	14,496,506.	2,234,484.
<b>9</b> Other employee benefits	50,458,434.	38,338,220.	10,150,279.	1,969,935.
<b>10</b> Payroll taxes	31,412,424.	22,489,353.	7,706,596.	1,216,475.
<b>11</b> Fees for services (non-employees):				
<b>a</b> Management				
<b>b</b> Legal	701,849.	337,620.	354,161.	10,068.
<b>c</b> Accounting	918,912.		918,912.	
<b>d</b> Lobbying				
<b>e</b> Professional fundraising services. See Part IV, line 17	5,934,928.			5,934,928.
<b>f</b> Investment management fees	1,892,569.		1,892,569.	
<b>g</b> Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch O.)	90,278,027.	70,882,420.	15,308,957.	4,086,650.
<b>12</b> Advertising and promotion	4,275,618.	3,966,268.	116,574.	192,776.
<b>13</b> Office expenses	44,298,438.	35,589,988.	7,620,350.	1,088,100.
<b>14</b> Information technology	40,911,351.	9,183,290.	31,649,447.	78,614.
<b>15</b> Royalties	328,334.	348,729.	-20,443.	48.
<b>16</b> Occupancy	113,443,305.	96,587,895.	15,354,591.	1,500,819.
<b>17</b> Travel	13,670,302.	11,001,252.	1,735,757.	933,293.
<b>18</b> Payments of travel or entertainment expenses for any federal, state, or local public officials				
<b>19</b> Conferences, conventions, and meetings	3,832,572.	2,625,150.	1,049,308.	158,114.
<b>20</b> Interest	2,568,115.	2,568,115.		
<b>21</b> Payments to affiliates				
<b>22</b> Depreciation, depletion, and amortization	126,415,338.	108,679,114.	17,490,840.	245,384.
<b>23</b> Insurance	1,110,119.	499,881.	610,237.	1.
<b>24</b> 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.)				
<b>a</b> Periodical Prod Costs	44,515,418.	41,989,274.	828,014.	1,698,130.
<b>b</b> Research/Subcontracts	34,365,153.	34,364,929.		224.
<b>c</b> Collections & Equipmnt	12,003,456.	11,270,756.	734,334.	-1,634.
<b>d</b> OH Cost Recovery Grants	0.	23,485,960.	-23,485,960.	
<b>e</b> All other expenses				
<b>25</b> Total functional expenses. Add lines 1 through 24e	1,173,081,322.	916,182,961.	217,042,469.	39,855,892.
<b>26</b> 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 checked="" type="checkbox"/> if following SOP 98-2 (ASC 958-720)	10,800,267.	5,545,877.	0.	5,254,390.

**Part X Balance Sheet**

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

		(A) Beginning of year		(B) End of year
<b>Assets</b>	<b>1</b> Cash - non-interest-bearing .....	498,183,220.	<b>1</b>	520,731,243.
	<b>2</b> Savings and temporary cash investments .....	56,691,155.	<b>2</b>	22,508,876.
	<b>3</b> Pledges and grants receivable, net .....	256,777,273.	<b>3</b>	270,293,495.
	<b>4</b> Accounts receivable, net .....	41,497,121.	<b>4</b>	51,557,351.
	<b>5</b> Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L .....		<b>5</b>	
	<b>6</b> Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instr). Complete Part II of Sch L .....		<b>6</b>	
	<b>7</b> Notes and loans receivable, net .....		<b>7</b>	
	<b>8</b> Inventories for sale or use .....	10,218,715.	<b>8</b>	12,545,158.
	<b>9</b> Prepaid expenses and deferred charges .....	11,993,467.	<b>9</b>	12,126,528.
	<b>10a</b> Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D .....	<b>10a</b> 3,813,205,763.		
	<b>b</b> Less: accumulated depreciation .....	<b>10b</b> 1,762,856,953.	1,886,245,677.	<b>10c</b> 2,050,348,810.
	<b>11</b> Investments - publicly traded securities .....	332,008,630.	<b>11</b>	380,090,163.
	<b>12</b> Investments - other securities. See Part IV, line 11 .....	926,210,038.	<b>12</b>	1,043,791,503.
	<b>13</b> Investments - program-related. See Part IV, line 11 .....	15,692,679.	<b>13</b>	18,050,199.
	<b>14</b> Intangible assets .....		<b>14</b>	
	<b>15</b> Other assets. See Part IV, line 11 .....	10,790,104.	<b>15</b>	17,495,907.
<b>16 Total assets.</b> Add lines 1 through 15 (must equal line 34) .....	4,046,308,079.	<b>16</b>	4,399,539,233.	
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses .....	287,731,437.	<b>17</b>	293,663,307.
	<b>18</b> Grants payable .....		<b>18</b>	
	<b>19</b> Deferred revenue .....	341,886,107.	<b>19</b>	267,746,658.
	<b>20</b> Tax-exempt bond liabilities .....	106,297,914.	<b>20</b>	104,745,929.
	<b>21</b> Escrow or custodial account liability. Complete Part IV of Schedule D .....		<b>21</b>	
	<b>22</b> Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L .....		<b>22</b>	
	<b>23</b> Secured mortgages and notes payable to unrelated third parties .....		<b>23</b>	
	<b>24</b> Unsecured notes and loans payable to unrelated third parties .....		<b>24</b>	100,000,000.
	<b>25</b> 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 .....	69,150,000.	<b>25</b>	45,279,699.
	<b>26 Total liabilities.</b> Add lines 17 through 25 .....	805,065,458.	<b>26</b>	811,435,593.
<b>Net Assets or Fund Balances</b>	<b>Organizations that follow SFAS 117 (ASC 958), check here</b> <input checked="" type="checkbox"/> <b>and complete lines 27 through 29, and lines 33 and 34.</b>			
	<b>27</b> Unrestricted net assets .....	2,164,167,948.	<b>27</b>	2,377,492,874.
	<b>28</b> Temporarily restricted net assets .....	683,991,907.	<b>28</b>	769,470,517.
	<b>29</b> Permanently restricted net assets .....	393,082,766.	<b>29</b>	441,140,249.
	<b>Organizations that do not follow SFAS 117 (ASC 958), check here</b> <input type="checkbox"/> <b>and complete lines 30 through 34.</b>			
	<b>30</b> Capital stock or trust principal, or current funds .....		<b>30</b>	
	<b>31</b> Paid-in or capital surplus, or land, building, or equipment fund .....		<b>31</b>	
	<b>32</b> Retained earnings, endowment, accumulated income, or other funds .....		<b>32</b>	
<b>33</b> Total net assets or fund balances .....	3,241,242,621.	<b>33</b>	3,588,103,640.	
<b>34</b> Total liabilities and net assets/fund balances .....	4,046,308,079.	<b>34</b>	4,399,539,233.	

**Part XI Reconciliation of Net Assets**

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

<b>1</b>	Total revenue (must equal Part VIII, column (A), line 12)	<b>1</b>	1,452,410,465.
<b>2</b>	Total expenses (must equal Part IX, column (A), line 25)	<b>2</b>	1,173,081,322.
<b>3</b>	Revenue less expenses. Subtract line 2 from line 1	<b>3</b>	279,329,143.
<b>4</b>	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	<b>4</b>	3,241,242,621.
<b>5</b>	Net unrealized gains (losses) on investments	<b>5</b>	36,865,812.
<b>6</b>	Donated services and use of facilities	<b>6</b>	
<b>7</b>	Investment expenses	<b>7</b>	
<b>8</b>	Prior period adjustments	<b>8</b>	
<b>9</b>	Other changes in net assets or fund balances (explain in Schedule O)	<b>9</b>	30,666,064.
<b>10</b>	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	<b>10</b>	3,588,103,640.

**Part XII Financial Statements and Reporting**

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

		Yes	No
<b>1</b>	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 in Schedule O.		
<b>2a</b>	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		X
<b>2b</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 checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis	X	
<b>2c</b>	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.	X	
<b>3a</b>	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?	X	
<b>3b</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	X	

**SCHEDULE A**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**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.

▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No. 1545-0047

**2013**

Open to Public Inspection

Name of the organization <p style="text-align: center;">Smithsonian Institution</p>	Employer identification number <p style="text-align: center;">53-0206027</p>
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**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 11, 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.)
  - 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 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.)
  - 10  An organization organized and operated exclusively to test for public safety. See **section 509(a)(4)**.
  - 11  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 that describes the type of supporting organization and complete lines 11e through 11h.
    - a  Type I      b  Type II      c  Type III - Functionally integrated      d  Type III - Non-functionally integrated
  - e  By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2).
  - f If the organization received a written determination from the IRS that it is a Type I, Type II, or Type III supporting organization, check this box
  - g Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?
 

	Yes	No
(i) A person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the supported organization? .....	11g(i)	
(ii) A family member of a person described in (i) above? .....	11g(ii)	
(iii) A 35% controlled entity of a person described in (i) or (ii) above? .....	11g(iii)	
  - h Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-9 above or IRC section (see instructions))	(iv) Is the organization in col. (i) listed in your governing document?		(v) Did you notify the organization in col. (i) of your support?		(vi) Is the organization in col. (i) organized in the U.S.?		(vii) Amount of monetary support
			Yes	No	Yes	No	Yes	No	
<b>Total</b>									

**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 fails to qualify under the tests listed below, please complete Part III.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .....	1032198872.	1040181349.	1126869412.	1120530769.	1190256002.	5510036404.
<b>2</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf .....						
<b>3</b> The value of services or facilities furnished by a governmental unit to the organization without charge .....						
<b>4 Total.</b> Add lines 1 through 3 .....	1032198872.	1040181349.	1126869412.	1120530769.	1190256002.	5510036404.
<b>5</b> The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) .....						
<b>6 Public support.</b> Subtract line 5 from line 4.						5510036404.

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
<b>7</b> Amounts from line 4 .....	1032198872.	1040181349.	1126869412.	1120530769.	1190256002.	5510036404.
<b>8</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources .....	11,201,417.	17,547,653.	17,395,111.	20,622,076.	35,313,796.	102,080,053.
<b>9</b> Net income from unrelated business activities, whether or not the business is regularly carried on .....						
<b>10</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.) .....						
<b>11 Total support.</b> Add lines 7 through 10						5612116457.
<b>12</b> Gross receipts from related activities, etc. (see instructions) .....					12	766,566,886.
<b>13 First five years.</b> 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 <b>stop here</b> .....						<input type="checkbox"/>

**Section C. Computation of Public Support Percentage**

<b>14</b> Public support percentage for 2013 (line 6, column (f) divided by line 11, column (f)) .....	<b>14</b>	98.18	%
<b>15</b> Public support percentage from 2012 Schedule A, Part II, line 14 .....	<b>15</b>	98.49	%
<b>16a 33 1/3% support test - 2013.</b> If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization .....	<input checked="" type="checkbox"/>		
<b>b 33 1/3% support test - 2012.</b> 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 <b>stop here.</b> The organization qualifies as a publicly supported organization .....	<input type="checkbox"/>		
<b>17a 10% -facts-and-circumstances test - 2013.</b> 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 <b>stop here.</b> Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization .....	<input type="checkbox"/>		
<b>b 10% -facts-and-circumstances test - 2012.</b> 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 <b>stop here.</b> Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization .....	<input type="checkbox"/>		
<b>18 Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions .....	<input type="checkbox"/>		



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

(Complete only if you checked the box on line 9 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) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .....						
<b>2</b> 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 .....						
<b>3</b> Gross receipts from activities that are not an unrelated trade or business under section 513 .....						
<b>4</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf .....						
<b>5</b> The value of services or facilities furnished by a governmental unit to the organization without charge .....						
<b>6 Total.</b> Add lines 1 through 5 .....						
<b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons .....						
<b>b</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 .....						
<b>c</b> Add lines 7a and 7b .....						
<b>8 Public support.</b> (Subtract line 7c from line 6.)						

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
<b>9</b> Amounts from line 6 .....						
<b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources .....						
<b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 .....						
<b>c</b> Add lines 10a and 10b .....						
<b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on .....						
<b>12</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.) .....						
<b>13 Total support.</b> (Add lines 9, 10c, 11, and 12.)						

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

**Section C. Computation of Public Support Percentage**

<b>15</b> Public support percentage for 2013 (line 8, column (f) divided by line 13, column (f)) .....	<b>15</b>	%
<b>16</b> Public support percentage from 2012 Schedule A, Part III, line 15 .....	<b>16</b>	%

**Section D. Computation of Investment Income Percentage**

<b>17</b> Investment income percentage for 2013 (line 10c, column (f) divided by line 13, column (f)) .....	<b>17</b>	%
<b>18</b> Investment income percentage from 2012 Schedule A, Part III, line 17 .....	<b>18</b>	%

**19a 33 1/3% support tests - 2013.** 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 - 2012.** 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



**SCHEDULE C**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Political Campaign and Lobbying Activities**

For Organizations Exempt From Income Tax Under section 501(c) and section 527

▶ **Complete if the organization is described below.** ▶ **Attach to Form 990 or Form 990-EZ.**  
▶ **See separate instructions.** ▶ **Information about Schedule C (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).**

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**2013**

**Open to Public Inspection**

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

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

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

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

**If the organization answered "Yes," to Form 990, Part IV, line 5 (Proxy Tax) or Form 990-EZ, Part V, line 35c (Proxy Tax), then**

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

Name of organization <p style="text-align: center;">Smithsonian Institution</p>	Employer identification number <p style="text-align: center;">53-0206027</p>
--	---

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

- 1 Provide a description of the organization's direct and indirect political campaign activities in Part IV.
- 2 Political expenditures ..... ▶ \$ \_\_\_\_\_
- 3 Volunteer hours ..... \_\_\_\_\_

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

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

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

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

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

For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ. Schedule C (Form 990 or 990-EZ) 2013

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

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

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

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

<b>Lobbying Expenditures During 4-Year Averaging Period</b>					
Calendar year (or fiscal year beginning in)	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) Total
<b>2a</b> Lobbying nontaxable amount					
<b>b</b> Lobbying ceiling amount (150% of line 2a, column(e))					
<b>c</b> Total lobbying expenditures					
<b>d</b> Grassroots nontaxable amount					
<b>e</b> Grassroots ceiling amount (150% of line 2d, column (e))					
<b>f</b> Grassroots lobbying expenditures					

**Part II-B Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).**

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

	(a)		(b)
	Yes	No	Amount
<b>1</b> During the year, did the filing organization attempt to influence foreign, national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of:			
<b>a</b> Volunteers? .....		X	
<b>b</b> Paid staff or management (include compensation in expenses reported on lines 1c through 1i)? ..	X		
<b>c</b> Media advertisements? .....		X	
<b>d</b> Mailings to members, legislators, or the public? .....		X	
<b>e</b> Publications, or published or broadcast statements? .....		X	
<b>f</b> Grants to other organizations for lobbying purposes? .....		X	
<b>g</b> Direct contact with legislators, their staffs, government officials, or a legislative body? .....	X		587.
<b>h</b> Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means? .....		X	
<b>i</b> Other activities? .....		X	
<b>j</b> Total. Add lines 1c through 1i .....			587.
<b>2a</b> Did the activities in line 1 cause the organization to be not described in section 501(c)(3)? .....		X	
<b>b</b> If "Yes," enter the amount of any tax incurred under section 4912 .....			
<b>c</b> If "Yes," enter the amount of any tax incurred by organization managers under section 4912 .....			
<b>d</b> If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year? .....			

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

	Yes	No
<b>1</b> Were substantially all (90% or more) dues received nondeductible by members? .....	1	
<b>2</b> Did the organization make only in-house lobbying expenditures of \$2,000 or less? .....	2	
<b>3</b> Did the organization agree to carry over lobbying and political expenditures from the prior year? .....	3	

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

<b>1</b> Dues, assessments and similar amounts from members .....	1	
<b>2</b> Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of political expenses for which the section 527(f) tax was paid).		
<b>a</b> Current year .....	2a	
<b>b</b> Carryover from last year .....	2b	
<b>c</b> Total .....	2c	
<b>3</b> Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues .....	3	
<b>4</b> If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year? .....	4	
<b>5</b> Taxable amount of lobbying and political expenditures (see instructions) .....	5	

**Part IV Supplemental Information**

Provide the descriptions required for Part I-A, line 1; Part I-B, line 4; Part I-C, line 5; Part II-A (affiliated group list); Part II-A, line 2; and Part II-B, line 1. Also, complete this part for any additional information.

Part II-B, Line 1, Lobbying Activities:

The Smithsonian Institution requested support for capital

improvements and educational programs for the Cooper-Hewitt National

Design Museum in New York City from NYC and the State of New York.

Smithsonian staff met with public officials on one occasion, and the

value of staff time and direct expenses spent in connection with this

**Part IV** Supplemental Information *(continued)*

meeting was \$587.

**SCHEDULE D**  
**(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Supplemental Financial Statements**

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

▶ **Information about Schedule D (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)**

OMB No. 1545-0047

**2013**

**Open to Public Inspection**

**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" to Form 990, Part IV, line 6.

	(a) Donor advised funds	(b) Funds and other accounts
<b>1</b> Total number at end of year .....		
<b>2</b> Aggregate contributions to (during year) .....		
<b>3</b> Aggregate grants from (during year) .....		
<b>4</b> Aggregate value at end of year .....		
<b>5</b> 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? .....	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>6</b> 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? .....	<input type="checkbox"/> Yes	<input type="checkbox"/> No

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

**1** Purpose(s) of conservation easements held by the organization (check all that apply).

Preservation of land for public use (e.g., recreation or education)       Preservation of an historically important land area

Protection of natural habitat       Preservation of a certified historic structure

Preservation of open space

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

	Held at the End of the Tax Year
<b>a</b> Total number of conservation easements .....	<b>2a</b>
<b>b</b> Total acreage restricted by conservation easements .....	<b>2b</b>
<b>c</b> Number of conservation easements on a certified historic structure included in (a) .....	<b>2c</b>
<b>d</b> Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register .....	<b>2d</b>

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

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

**5** Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? .....

Yes       No

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

**7** Amount of expenses incurred in monitoring, inspecting, 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" to Form 990, Part IV, line 8.

**1a** If the organization elected, as permitted under SFAS 116 (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 SFAS 116 (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)** Revenues included in 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 SFAS 116 (ASC 958) relating to these items:

**a** Revenues included in 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" to 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	<b>1c</b>
d Additions during the year	<b>1d</b>
e Distributions during the year	<b>1e</b>
f Ending balance	<b>1f</b>

2a Did the organization include an amount on Form 990, Part X, line 21?  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" to 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	1,191,094,313.	1,074,356,857.	971,279,043.	990,868,000.	883,509,000.
b Contributions	37,894,600.	34,861,990.	34,505,912.	23,507,002.	56,665,000.
c Net investment earnings, gains, and losses	130,483,529.	139,875,394.	121,707,182.	6,268,193.	101,203,000.
d Grants or scholarships					
e Other expenditures for facilities and programs	57,266,941.	55,408,994.	51,207,144.	47,426,653.	49,782,000.
f Administrative expenses	2,997,377.	2,590,934.	1,928,136.	1,937,499.	727,000.
g End of year balance	1,299,208,124.	1,191,094,313.	1,074,356,857.	971,279,043.	990,868,000.

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

- a Board designated or quasi-endowment  48.44 %
- b Permanent endowment  28.44 %
- c Temporarily restricted endowment  23.12 %

The percentages in 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:

	Yes	No
(i) unrelated organizations	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(ii) related organizations	<input type="checkbox"/>	<input checked="" type="checkbox"/>

b If "Yes" to 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" to 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		12,582,149.		12,582,149.
b Buildings		2,766,485,177.	1,475,183,658.	1,291,301,519.
c Leasehold improvements		119,729,748.	57,887,604.	61,842,144.
d Equipment		309,725,676.	229,785,691.	79,939,985.
e Other		604,683,013.		604,683,013.
<b>Total.</b> Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10(c).)				2,050,348,810.



**Part VII Investments - Other Securities.**

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

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests		
(3) Other		
(A) Global & emerging markets	374,479,126.	End-of-Year Market Value
(B) Hedge funds	344,782,917.	End-of-Year Market Value
(C) Private equity & venture capital	179,694,756.	End-of-Year Market Value
(D) Natural Resources	54,616,560.	End-of-Year Market Value
(E) Real Estate	79,409,192.	End-of-Year Market Value
(F) Fixed Income	10,808,952.	End-of-Year Market Value
(G)		
(H)		
<b>Total.</b> (Col. (b) must equal Form 990, Part X, col. (B) line 12.)	1,043,791,503.	

**Part VIII Investments - Program Related.**

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

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
<b>Total.</b> (Col. (b) must equal Form 990, Part X, col. (B) line 13.)		

**Part IX Other Assets.**

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

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
<b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 15.)	

**Part X Other Liabilities.**

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

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) Environmental remediation obligation	45,279,699.
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
<b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 25.)	45,279,699.

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" to Form 990, Part IV, line 12a.

<b>1</b>	Total revenue, gains, and other support per audited financial statements	<b>1</b>	1,581,768,490.
<b>2</b>	Amounts included on line 1 but not on Form 990, Part VIII, line 12:		
<b>a</b>	Net unrealized gains on investments	<b>2a</b>	36,865,812.
<b>b</b>	Donated services and use of facilities	<b>2b</b>	7,959,643.
<b>c</b>	Recoveries of prior year grants	<b>2c</b>	
<b>d</b>	Other (Describe in Part XIII.)	<b>2d</b>	63,598,661.
<b>e</b>	Add lines <b>2a</b> through <b>2d</b>	<b>2e</b>	108,424,116.
<b>3</b>	Subtract line <b>2e</b> from line <b>1</b>	<b>3</b>	1,473,344,374.
<b>4</b>	Amounts included on Form 990, Part VIII, line 12, but not on line 1:		
<b>a</b>	Investment expenses not included on Form 990, Part VIII, line 7b	<b>4a</b>	1,892,569.
<b>b</b>	Other (Describe in Part XIII.)	<b>4b</b>	-22,826,478.
<b>c</b>	Add lines <b>4a</b> and <b>4b</b>	<b>4c</b>	-20,933,909.
<b>5</b>	Total revenue. Add lines <b>3</b> and <b>4c</b> . (This must equal Form 990, Part I, line 12.)	<b>5</b>	1,452,410,465.

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

Complete if the organization answered "Yes" to Form 990, Part IV, line 12a.

<b>1</b>	Total expenses and losses per audited financial statements	<b>1</b>	1,234,907,471.
<b>2</b>	Amounts included on line 1 but not on Form 990, Part IX, line 25:		
<b>a</b>	Donated services and use of facilities	<b>2a</b>	7,959,643.
<b>b</b>	Prior year adjustments	<b>2b</b>	
<b>c</b>	Other losses	<b>2c</b>	
<b>d</b>	Other (Describe in Part XIII.)	<b>2d</b>	55,759,075.
<b>e</b>	Add lines <b>2a</b> through <b>2d</b>	<b>2e</b>	63,718,718.
<b>3</b>	Subtract line <b>2e</b> from line <b>1</b>	<b>3</b>	1,171,188,753.
<b>4</b>	Amounts included on Form 990, Part IX, line 25, but not on line 1:		
<b>a</b>	Investment expenses not included on Form 990, Part VIII, line 7b	<b>4a</b>	1,892,569.
<b>b</b>	Other (Describe in Part XIII.)	<b>4b</b>	
<b>c</b>	Add lines <b>4a</b> and <b>4b</b>	<b>4c</b>	1,892,569.
<b>5</b>	Total expenses. Add lines <b>3</b> and <b>4c</b> . (This must equal Form 990, Part I, line 18.)	<b>5</b>	1,173,081,322.

**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.

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 unrestricted net assets 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 generally designated for future collection acquisitions.

Part III, line 4:

The acquisition, preservation, management, and study of

collections are fundamental to the Smithsonian's mission to increase and

**Part XIII Supplemental Information** (continued)

diffuse knowledge and have been the foundation upon which its reputation 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.

Assembled over more than 160 years, the collections are central to the core activities and to the vitality and significance of the Smithsonian. 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.

Part V, line 4:

The Endowment includes approximately 500 individual endowment funds. The Endowment provides stable financial support for scholarship, research activities, other programs, acquisitions for 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 and are consistent with the Institution's mission. Classification and reporting of net assets associated with the Endowment reflect Donor-imposed restrictions.

**Part XIII** Supplemental Information (continued)

Part X, Line 2:

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:

Deferred gain on building	3,908,586.
Change in FONZ net assets	529,657.
Change in minority interest - SI Networks	2,357,520.
Imputed Benefit Revenue	32,932,597.
Environmental Remediation liability adjustment	23,870,301.
Total to Schedule D, Part XI, Line 2d	63,598,661.

Part XI, Line 4b - Other Adjustments:

Direct expenses - fundraising	-870,564.
Direct expenses - cost of goods sold	-21,955,914.
Total to Schedule D, Part XI, Line 4b	-22,826,478.

Part XII, Line 2d - Other Adjustments:

Direct expenses - fundraising	870,564.
Direct expenses - cost of goods sold	21,955,914.
Imputed benefit costs	32,932,597.
Total to Schedule D, Part XII, Line 2d	55,759,075.

**SCHEDULE F  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Statement of Activities Outside the United States**

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

▶ Attach to Form 990. ▶ See separate instructions.

▶ Information about Schedule F (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No. 1545-0047

**2013**

Open to Public Inspection

Name of the organization  Smithsonian Institution	Employer identification number  53-0206027
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**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 region	(d) Activities conducted in region (by type) (e.g., 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 region	(f) Total expenditures for and investments in region
Central America and the Caribbean	0	0	Academic appointment stipends to recipients located in the region		1,578,169.
Central America and the Caribbean	7	600	Program services	Research facilities research & conferences	24,092,557.
East Asia & Pacific	0	0	Academic appointment stipends to recipients located in the region		716,488.
Europe	0	0	Academic appointment stipends to recipients located in the region		1,996,824.
Middle East & North Africa	0	0	Academic appointment stipends to recipients located in the region		76,906.
North America	0	0	Academic appointment stipends to recipients located in the region		170,817.
Russia & Neighboring States	0	0	Academic appointment stipends to recipients located in the region		144,296.
South America	0	0	Academic appointment stipends to recipients located in the region		300,737.
<b>3 a</b> Sub-total .....	7	600			29,076,794.
<b>b</b> Total from continuation sheets to Part I .....	3	15			750,995,706.
<b>c Totals</b> (add lines 3a and 3b) .....	10	615			780,072,500.

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

Schedule F (Form 990) 2013

**Part I** Continuation of Activities per Region. (Schedule F (Form 990), Part I, line 3)

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
South Asia	0	0	Academic appointment stipends to recipients located in the region		11,596.
Sub-Saharan Africa	0	0	Academic appointment stipends to recipients located in the region		36,041.
Europe	0	0	Program Services	Research/conferences	1,336,757.
Sub-Saharan Africa	1	8	Program Services	Research/conferences	1,292,817.
South America	2	7	Program Services	Research/conferences	1,160,829.
East Asia & Pacific	0	0	Program Services	Research/conferences	1,171,269.
Middle East & North Africa	0	0	Program Services	Research/conferences	62,142.
North America	0	0	Program Services	Research/conferences	363,875.
Russia & Neighboring States	0	0	Program Services	Research/conferences	96,547.
South Asia	0	0	Program Services	Research/conferences	58,031.
<b>Totals</b> .....					

**Part I** Continuation of Activities per Region. (Schedule F (Form 990), Part I, line 3)

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Central America and the Caribbean	0	0	Investments		606,337,863.
Europe	0	0	Investments		108,453,893.
North America	0	0	Investments		1,401,322.
Sub-Saharan Africa	0	0	Investments		4,596,746.
East Asia & Pacific	0	0	Investments		24,615,978.
<b>Totals</b> .....	3	15			750,995,706.

**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 non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		Europe	Academic appointment stipend	21,408.	EFT	0.		
		Europe	Academic appointment stipend	3,465.	EFT	0.		
		North America	Academic appointment stipend	10,000.	EFT	0.		
		North America	Academic appointment stipend	13,680.	EFT	0.		

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 ..... **4**

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 non-cash assistance	(g) Description of non-cash assistance	(h) Method of valuation (book, FMV, appraisal, other)
Academic Appointment Stipends	Central America and the Caribbean	195	1,578,169.	Direct Deposits & Checks	0.		
Academic Appointment Stipends	East Asia and the Pacific	43	716,488.	Direct Deposits & Checks	0.		
Academic Appointment Stipends	Europe	82	1,971,951.	Direct Deposits & Checks	0.		
Academic Appointment Stipends	Middle East and North Africa	5	76,906.	Direct Deposits & Checks	0.		
Academic Appointment Stipends	North America	17	147,137.	Direct Deposits & Checks	0.		
Academic Appointment Stipends	Russia and Neighboring States	7	144,296.	Direct Deposits & Checks	0.		
Academic Appointment Stipends	South America	26	300,737.	Direct Deposits & Checks	0.		
Academic Appointment Stipends	South Asia	3	11,596.	Direct Deposits & Checks	0.		
Academic Appointment Stipends	Sub-Saharan Africa	4	36,041.	Direct Deposits & Checks	0.		

**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 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)* .....  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 file Form 5713, International Boycott Report. (see Instructions for Form 5713)* .....  Yes  No

**Part V Supplemental Information**

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

Part I, Line 2:

The Office of Fellowships has central management and administrative responsibility for 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 staff who evaluate the candidates and then select the fellows. There are other competitive and non-competitive fellowship, visiting scholar and student appointees selected through the Smithsonian units that go through a variety of other selection 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 can range from one lump sum, biweekly payments or monthly payments. Most fellowship appointments are awarded for one to two years. On occasion, we have visiting scholars or fellows who are conducting research in another country. Payments are usually submitted as stated above, however, on occasion, there may be one or two who request that their payments be sent to the country of their research. 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

**Part V Supplemental Information**

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

tenure. The eight Smithsonian research centers located in the United

States and one located in Panama monitor the progress of their fellows

especially those fellows in other countries, and the administrative

management of funds is managed through the Institution's central

administration for accountability.

Program services for research and conferences include travel related

expenditures. Only travel essential to the performance of official SI

business, whether by SI employees, research associates, or invitational

travelers (i.e., individuals who are not SI employees), and for which

travel-related expenses are to be paid by the Smithsonian, can be

approved, authorized, and reimbursed.

Investments in regions include investments in foreign partnerships and

foreign corporations. The foreign region is determined by the country

whose laws govern the investment entity. The value reported represents

the fair market value of the investment at the end of the fiscal year.

Per Form 990 instructions, stipends are reported on Schedule F if the

person receiving the stipend is living or residing outside the United

States at the time the stipend is paid or distributed. However, many of

these stipend recipients later traveled to the Smithsonian in the United

States to perform their research.

**SCHEDULE G**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Supplemental Information Regarding Fundraising or Gaming Activities**  
Complete if the organization answered "Yes" to 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.

OMB No. 1545-0047

**2013**

Open To Public Inspection

▶ Information about Schedule G (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

Name of the organization: **Smithsonian Institution**  
Employer identification number: **53-0206027**

**Part I Fundraising Activities.** Complete if the organization answered "Yes" to 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  Mail solicitations
- b  Internet and email solicitations
- c  Phone solicitations
- d  In-person solicitations
- e  Solicitation of non-government grants
- f  Solicitation of government grants
- g  Special fundraising events

**2 a** 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 ten 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			
Odell, Simms & Associates - 1593 Spring Hill Rd, Tysons	Direct Mail-Acquisition Program/Membership		X	0.	2,429,419.	-2,429,419.
Epsilon Data Management - 1300 N 17th St, Arlington, VA	Direct Mail Advisory & Assistance		X	0.	887,476.	-887,476.
Avalon Consulting Group - 2030 M St, NW, Washington, DC	Telemarketing, Direct Mail, Online & Consulting		X	0.	594,063.	-594,063.
Community Counselling Service - 3349 Highway 138, Wall, NJ	Capital Campaign Management Services		X	0.	552,500.	-552,500.
Marts & Lundy - 1200 Wall St. W, Lyndhurst, NJ 07071-3680	Campaign Consultant		X	0.	429,751.	-429,751.
21 Sports & Entertainment Mkting - 85 Railroad Ave,	Fundraising Consultant		X	0.	257,000.	-257,000.
M & R Strategic Services - 2120 L St NW, Washington, DC	Online Advisory		X	0.	203,134.	-203,134.
Donor Services Group - 1150 Olympic Blvd, Los Angeles, CA	Telemarketing Calling Services		X	0.	179,324.	-179,324.
SD&A Teleservices - 101 Continental Blvd, El Segundo,	Telemarketing Services		X	0.	109,261.	-109,261.
General Systems Corp - 8306 Old Courthouse Rd, Vienna, VA	Direct Mail Advisory & Assistance		X	0.	103,271.	-103,271.
<b>Total</b>					<b>5,745,199.</b>	<b>-5,745,199.</b>

**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" to 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	(b) Event #2	(c) Other events	(d) Total events
		National Design Awards Gala	Archives of American Art Benef	10	(add col. (a) through col. (c))
		(event type)	(event type)	(total number)	
Revenue	<b>1</b> Gross receipts .....	1,308,206.	596,207.	624,819.	2,529,232.
	<b>2</b> Less: Contributions .....	1,162,246.	511,802.	496,275.	2,170,323.
	<b>3</b> Gross income (line 1 minus line 2) .....	145,960.	84,405.	128,544.	358,909.
Direct Expenses	<b>4</b> Cash prizes .....				
	<b>5</b> Noncash prizes .....				
	<b>6</b> Rent/facility costs .....			11,540.	11,540.
	<b>7</b> Food and beverages .....	167,206.	74,780.	103,886.	345,872.
	<b>8</b> Entertainment .....	7,424.		7,756.	15,180.
	<b>9</b> Other direct expenses .....	214,098.	53,762.	230,112.	497,972.
	<b>10</b> Direct expense summary. Add lines 4 through 9 in column (d) .....				870,564.
	<b>11</b> Net income summary. Subtract line 10 from line 3, column (d) .....				-511,655.

**Part III Gaming.** Complete if the organization answered "Yes" to 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	<b>1</b> Gross revenue .....				
Direct Expenses	<b>2</b> Cash prizes .....				
	<b>3</b> Noncash prizes .....				
	<b>4</b> Rent/facility costs .....				
	<b>5</b> Other direct expenses .....				
	<b>6</b> 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	
	<b>7</b> Direct expense summary. Add lines 2 through 5 in column (d) .....				
	<b>8</b> Net gaming income summary. Subtract line 7 from line 1, column (d) .....				

**9** Enter the state(s) in which the organization operates gaming activities: \_\_\_\_\_  
**a** Is the organization licensed to operate 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 operate 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 operated in:
 

<b>13a</b>		%
<b>13b</b>		%

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 to be 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 complete this part to provide any additional information (see instructions).

Schedule G, Part I, Line 2b Column (iv) and (v): As SI has multiple fundraisers, some who work on the same campaign, it is not possible to accurately report the exact amount of revenue associated with each fundraiser. No fundraiser had control of any contributions; all were paid under the terms of negotiated contracts.

Schedule G, Part I, Line 3: 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)**

Department of the Treasury  
Internal Revenue Service

**Grants and Other Assistance to Organizations,  
Governments, and Individuals in the United States**  
Complete if the organization answered "Yes" to Form 990, Part IV, line 21 or 22.

▶ **Attach to Form 990.**

▶ **Information about Schedule I (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)**

OMB No. 1545-0047

**2013**

**Open to Public  
Inspection**

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 Governments and Organizations in the United States.** Complete if the organization answered "Yes" to 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.

<b>1 (a)</b> Name and address of organization or government	<b>(b)</b> EIN	<b>(c)</b> IRC section if applicable	<b>(d)</b> Amount of cash grant	<b>(e)</b> Amount of non-cash assistance	<b>(f)</b> Method of valuation (book, FMV, appraisal, other)	<b>(g)</b> Description of non-cash assistance	<b>(h)</b> Purpose of grant or assistance
President and Fellows of Harvard College - 1033 Massachusetts Ave - Cambridge, MA 02138	04-2103580	501(c)(3)	136,108.	0.			Academic Appointment Stipend
Northwestern University 633 Clark Street Evanston, IL 60208	36-2167817	501(c)(3)	15,000.	0.			Academic Appointment Stipend
Regents of the University of Michigan - 3014 Fleming - Ann Arbor, MI 48109-1340	38-6006309	501(c)(3)	24,350.	0.			Academic Appointment Stipend
Indiana University 400 E 7th Street, Rm 501 Bloomington, IN 47405-3024	35-6001673	115	12,500.	0.			Academic Appointment Stipend
University of Dayton 300 College Park, Miriam Hall Dayton, OH 45409	31-0536715	501(c)(3)	14,212.	0.			Academic Appointment Stipend
University of Maryland 2119 Main Administration Bldg College Park, MD 20742-5035	52-6002033	115	34,481.	0.			Academic Appointment Stipend

- 2** Enter total number of section 501(c)(3) and government organizations listed in the line 1 table ▶ 8.
- 3** Enter total number of other organizations listed in the line 1 table ▶ 0.

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

Schedule I (Form 990) (2013)



**Part II** Continuation of Grants and Other Assistance to Governments and Organizations in the United States (Schedule I (Form 990), Part II.)

(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 non-cash assistance	(h) Purpose of grant or assistance
University of Illinois 601 E John Street Champaign, IL 61820	37-6000511	115	15,600.	0.			Academic Appointment Stipend
University of Wisconsin-Madison 21 N Park Street Madison, WI 53715-1218	39-6006492	115	24,000.	0.			Academic Appointment Stipend

**Part III** **Grants and Other Assistance to Individuals in the United States.** Complete if the organization answered "Yes" to 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 non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of non-cash assistance
Academic Appointment Stipends	978	11,854,024.	0.		

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

Part I, Line 2:

The Office of Fellowships has central management and

administrative responsibility for 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

**Part IV Supplemental Information**

evaluate the candidates and then select the fellows. There are other competitive and non-competitive fellowship, 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. Similiar processes are followed for awards made to organizations whose academic staff perfoms the related research.

**SCHEDULE J  
(Form 990)**

**Compensation Information**

OMB No. 1545-0047

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

**2013**

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 23.

▶ Attach to Form 990. ▶ See separate instructions.

Open to Public Inspection

Department of the Treasury  
Internal Revenue Service

▶ Information about Schedule J (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)

Name of the organization

Smithsonian Institution

Employer identification number

53-0206027

**Part I Questions Regarding Compensation**

	Yes	No								
<p><b>1a</b> Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.</p> <table border="0"> <tr> <td><input type="checkbox"/> First-class or charter travel</td> <td><input type="checkbox"/> Housing allowance or residence for personal use</td> </tr> <tr> <td><input checked="" type="checkbox"/> Travel for companions</td> <td><input type="checkbox"/> Payments for business use of personal residence</td> </tr> <tr> <td><input type="checkbox"/> Tax indemnification and gross-up payments</td> <td><input type="checkbox"/> Health or social club dues or initiation fees</td> </tr> <tr> <td><input type="checkbox"/> Discretionary spending account</td> <td><input type="checkbox"/> Personal services (e.g., maid, chauffeur, chef)</td> </tr> </table>	<input type="checkbox"/> First-class or charter travel	<input type="checkbox"/> Housing allowance or residence for personal use	<input checked="" type="checkbox"/> Travel for companions	<input type="checkbox"/> Payments for business use of personal residence	<input type="checkbox"/> Tax indemnification 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)		
<input type="checkbox"/> First-class or charter travel	<input type="checkbox"/> Housing allowance or residence for personal use									
<input checked="" type="checkbox"/> Travel for companions	<input type="checkbox"/> Payments for business use of personal residence									
<input type="checkbox"/> Tax indemnification 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)									
<p><b>b</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 .....</p>	X									
<p><b>2</b> Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, and officers, including the CEO/Executive Director, regarding the items checked in line 1a? .....</p>	X									
<p><b>3</b> 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.</p> <table border="0"> <tr> <td><input checked="" type="checkbox"/> Compensation committee</td> <td><input type="checkbox"/> Written employment contract</td> </tr> <tr> <td><input checked="" type="checkbox"/> Independent compensation consultant</td> <td><input checked="" type="checkbox"/> Compensation survey or study</td> </tr> <tr> <td><input type="checkbox"/> Form 990 of other organizations</td> <td><input checked="" type="checkbox"/> Approval by the board or compensation committee</td> </tr> </table>	<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 type="checkbox"/> Form 990 of other organizations	<input checked="" type="checkbox"/> Approval by the board or compensation committee				
<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 type="checkbox"/> Form 990 of other organizations	<input checked="" type="checkbox"/> Approval by the board or compensation committee									
<p><b>4</b> During the year, did any person listed in Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:</p> <p><b>a</b> Receive a severance payment or change-of-control payment? .....</p> <p><b>b</b> Participate in, or receive payment from, a supplemental nonqualified retirement plan? .....</p> <p><b>c</b> Participate in, or receive payment from, an equity-based compensation arrangement? .....</p> <p>If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.</p>	X									
<p><b>5a</b> The organization? .....</p>		X								
<p><b>5b</b> Any related organization? .....</p> <p>If "Yes" to line 5a or 5b, describe in Part III.</p>		X								
<p><b>6</b> For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:</p> <p><b>a</b> The organization? .....</p> <p><b>b</b> Any related organization? .....</p> <p>If "Yes" to line 6a or 6b, describe in Part III.</p>	X									
<p><b>6b</b> Any related organization? .....</p>		X								
<p><b>7</b> For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III .....</p>		X								
<p><b>8</b> Were any amounts reported in 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 .....</p>		X								
<p><b>9</b> If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)? .....</p>										

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

Schedule J (Form 990) 2013

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

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

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation reported as deferred in prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
(1) G. Wayne Clough Secretary	(i)	502,579.	20,000.	8,652.	38,010.	2,922.	572,163.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(2) Scott Dahl (thru 11/2/13) Inspector General	(i)	175,738.	0.	0.	7,580.	16,961.	200,279.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(3) Albert Horvath Under Sec - Fin & Adm/CFO	(i)	361,279.	5,000.	883.	38,010.	17,773.	422,945.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(4) John Lapiana (thru 12/1/13) Chief of Staff - Regents	(i)	175,573.	5,000.	354.	24,762.	6,804.	212,493.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(5) Judith Leonard General Counsel	(i)	176,545.	0.	1,037.	25,186.	6,889.	209,657.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(6) Sudeep Anand (thru 12/31/13) Treasurer	(i)	214,329.	4,714.	2,667.	32,690.	10,125.	264,525.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(7) Nancy Bechtol Director - Facilities	(i)	174,637.	0.	650.	24,348.	803.	200,438.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(8) Gregory Bokman (thru 9/30/13) CFO-Smithsonian Enterprises	(i)	152,252.	57,342.	119,927.	22,512.	14,465.	366,498.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(9) Claudine Brown Asst Sec - Education and Access	(i)	240,090.	3,500.	1,544.	36,169.	32,045.	313,348.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(10) Deron Burba Chief Information Officer	(i)	174,505.	10,000.	236.	25,186.	14,648.	224,575.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(11) Amy Chen Chief Investment Officer	(i)	248,506.	180,834.	1,032.	34,375.	1,452.	466,199.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(12) Virginia Clark Director - Advancement & Giving	(i)	321,321.	7,500.	2,218.	38,010.	17,675.	386,724.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(13) Bruce Dauer VP Finance/Adm - (SE)	(i)	206,210.	10,000.	1,970.	28,657.	3,878.	250,715.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(14) James Douglas Dir - Office of Human Resources	(i)	178,248.	4,000.	1,061.	25,682.	4,497.	213,488.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(15) Richard Kurin Under Sec - History, Art & Culture	(i)	287,140.	5,000.	1,893.	42,960.	11,400.	348,393.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(16) Christopher Liedel President - Smithsonian Enterprises	(i)	419,930.	91,920.	1,049.	37,665.	20,461.	571,025.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.

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

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

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation reported as deferred in prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
(17) Evelyn Lieberman Director - Comm & External Affairs	(i)	184,741.	10,000.	2,075.	26,066.	896.	223,778.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(18) Era Marshall Dir-Equal Emplmt & Minority Affairs	(i)	159,004.	5,000.	0.	0.	15,320.	179,324.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(19) Mary Payne Director - Office of Govt Relations	(i)	180,285.	3,000.	695.	25,808.	6,862.	216,650.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(20) Eva Pell (thru 3/22/14) Under Secretary - Science	(i)	317,199.	0.	1,741.	38,010.	3,056.	360,006.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(21) David Voyles Director - OPMB	(i)	161,844.	7,500.	0.	6,683.	7,511.	183,538.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(22) Michael Caruso Editor in Chief - (SE)	(i)	288,325.	53,106.	676.	41,750.	17,789.	401,646.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(23) John Dailey Director - NASM	(i)	279,443.	9,864.	5,735.	36,145.	1,063.	332,250.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(24) Edward Howell SVP Retail-Smithsonian Enterprises	(i)	253,955.	55,552.	3,201.	39,365.	17,660.	369,733.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(25) Kirk Johnson Director - NMNH	(i)	302,918.	0.	718.	33,500.	17,626.	354,762.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(26) Carol LeBlanc SVP Consumer & Educ Products - (SE)	(i)	233,418.	69,949.	333.	35,802.	7,206.	346,708.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(27) Michael Pickett Former Acting Inspector General	(i)	132,011.	3,750.	0.	6,094.	2,189.	144,044.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(28) Marsha Shaines Former Acting General Counsel	(i)	160,063.	5,000.	0.	0.	8,512.	173,575.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(29) Charles R. Alcock Former Acting Under Sec - Science	(i)	143,974.	4,487.	753.	19,186.	1,909.	170,309.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(30) Kenneth Johnson Former Acting Director - OPMB	(i)	164,736.	10,000.	0.	8,237.	328.	183,301.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(31) Scott Miller Former Acting Under Sec - Science	(i)	158,802.	4,794.	0.	8,237.	16,961.	188,794.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(32) Andrew Zino (thru 6/15/13) Former Comptroller	(i)	157,501.	1,818.	0.	8,237.	16,555.	184,111.	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.

Part I, Line 1a:

Travel for companions:

Travel was authorized for the spouse of a person listed in Part VII,

Section A when the circumstances of that travel met the requirements of the

Smithsonian's policy for such travel. The Smithsonian's policy for payment

of spousal or dependent family member travel permits such payment only in

limited, exceptional cases, when there is a demonstrated bona fide business

purpose for the travel and the travel furthers the mission of the

Smithsonian, beyond mere attendance at an event or the performance of

incidental services. Such travel is authorized only if approved by the

Office of General Counsel and the Office of Under Secretary for Finance and

Administration/Chief Financial Officer in advance of travel. In the

calendar year 2013, one trip was approved for the spouse of a highly

compensated employee. The trip was authorized consistent with policy.

Because it was determined that there was a bona fide business purpose for

the trip, the cost of the trip was not treated as taxable income.

Part I, Line 4a:

The CFO position for Smithsonian Enterprises was eliminated

**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.

in March of 2013. Mr. Gregory Bokman was detailed to work for the

Undersecretary of Finance and Administration until the effective date of

his staff reduction which was September 30, 2013. Mr. Bokman received

severance in Calendar Year 2013 of \$41,466.

Severance is based on years of service and an age adjustment where ten

percent of the basic service based computation is added for each year of

the employee's age that is beyond 40 years.

Additional compensation in column (iii) Other reportable compensation for

Mr. Bokman is an annual leave payment of \$78,243 and term life insurance of

\$218.

The severance pay and annual leave payment follow the established

organizational policies for pay and leave approved by the Board of Regents

that mirror pay and leave requirements for Federal employees.

Part I, Line 6:

Certain employees of Smithsonian Enterprises (SE) are



**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.

eligible to participate in the Smithsonian Enterprises Management Incentive

Plan. This eligibility is determined on an annual basis. Even if eligible

to participate, a performance review rating of "Fully Successful" must be

received. The Plan includes both financial and individual (operational)

goals, and these goals must be met in order to receive an incentive

payment. There are different performance levels, with each successive

level giving a higher incentive payment. In addition, the eligible person

must be employed by the organization on the last day of the fiscal year in

order to receive payment. Approvals for incentive payments are tiered; any

payment to a senior executive is reviewed by the Secretary, with the

Regents (either the Compensation Committee or the Full Board) approving

incentive payments to any disqualified person, any direct report to the

Secretary, and any executive with total cash above an annually determined

threshold. The Regents have delegated to the Secretary the authority to

approve other executive incentive payments. For non-executives, the

President of SE approves those payments, except for payments above \$10,000

which go to the Secretary for approval.

**Supplemental Information on Tax-Exempt Bonds**

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

▶ **Attach to Form 990.** ▶ **See separate instructions.** ▶ **Information about Schedule K (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)**

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) Pooled financing	
						Yes	No	Yes	No	Yes	No
<b>A</b> Fairfax County Economic Development Authority	54-0787833	30382ECZ5	12/03/03	77,545,000.	To construct a museum		X		X		X
<b>B</b> District of Columbia	53-6001131	2548397S6	04/29/10	33,825,749.	Refunding of 1997 Bonds		X		X		X
<b>C</b>											
<b>D</b>											

**Part II Proceeds**

	A		B		C		D	
<b>1</b> Amount of bonds retired			5,300,000.					
<b>2</b> Amount of bonds legally defeased								
<b>3</b> Total proceeds of issue	77,545,000.		33,825,749.					
<b>4</b> Gross proceeds in reserve funds								
<b>5</b> Capitalized interest from proceeds								
<b>6</b> Proceeds in refunding escrows								
<b>7</b> Issuance costs from proceeds	530,475.		612,994.					
<b>8</b> Credit enhancement from proceeds	6,161.							
<b>9</b> Working capital expenditures from proceeds								
<b>10</b> Capital expenditures from proceeds	77,008,364.							
<b>11</b> Other spent proceeds			33,212,755.					
<b>12</b> Other unspent proceeds								
<b>13</b> Year of substantial completion	2003		2010					
	Yes	No	Yes	No	Yes	No	Yes	No
<b>14</b> Were the bonds issued as part of a current refunding issue?		X	X					
<b>15</b> Were the bonds issued as part of an advance refunding issue?		X		X				
<b>16</b> Has the final allocation of proceeds been made?	X			X				
<b>17</b> 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
<b>1</b> Was the organization a partner in a partnership, or a member of an LLC, which owned property financed by tax-exempt bonds?		X		X				
<b>2</b> Are there any lease arrangements that may result in private business use of bond-financed property?		X		X				

**Part III Private Business Use** (Continued)

	A		B		C		D	
	Yes	No	Yes	No	Yes	No	Yes	No
<b>3a</b> Are there any management or service contracts that may result in private business use of bond-financed property? .....		X	X					
<b>b</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					
<b>c</b> Are there any research agreements that may result in private business use of bond-financed property? .....		X		X				
<b>d</b> 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? .....								
<b>4</b> 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 .....		.00 %		.00 %		%		%
<b>5</b> 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 .....		.00 %		4.42 %		%		%
<b>6</b> Total of lines 4 and 5 .....		.00 %		4.42 %		%		%
<b>7</b> Does the bond issue meet the private security or payment test? .....		X		X				
<b>8a</b> Has there been a sale or disposition of any of the bond-financed property to a non-governmental person other than a 501(c)(3) organization since the bonds were issued? .....		X		X				
<b>b</b> If "Yes" to line 8a, enter the percentage of bond-financed property sold or disposed of .....		%		%		%		%
<b>c</b> If "Yes" to line 8a, was any remedial action taken pursuant to Regulations sections 1.141-12 and 1.145-2? .....								
<b>9</b> 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
<b>1</b> Has the issuer filed Form 8038-T, Arbitrage Rebate, Yield Reduction and Penalty in Lieu of Arbitrage Rebate? .....		X		X				
<b>2</b> If "No" to line 1, did the following apply? .....								
<b>a</b> Rebate not due yet? .....		X		X				
<b>b</b> Exception to rebate? .....	X		X					
<b>c</b> No rebate due? .....		X		X				
If you checked "No rebate due" in line 2c, provide in Part VI the date the rebate computation was performed .....								
<b>3</b> Is the bond issue a variable rate issue? .....	X			X				
<b>4a</b> Has the organization or the governmental issuer entered into a qualified hedge with respect to the bond issue? .....		X		X				
<b>b</b> Name of provider .....								
<b>c</b> Term of hedge .....								
<b>d</b> Was the hedge superintegrated? .....								
<b>e</b> Was the hedge terminated? .....								

**Part IV Arbitrage** (Continued)

	A		B		C		D	
	Yes	No	Yes	No	Yes	No	Yes	No
<b>5a</b> Were gross proceeds invested in a guaranteed investment contract (GIC)? .....		X		X				
<b>b</b> Name of provider .....								
<b>c</b> Term of GIC .....								
<b>d</b> Was the regulatory safe harbor for establishing the fair market value of the GIC satisfied?								
<b>6</b> Were any gross proceeds invested beyond an available temporary period? .....		X		X				
<b>7</b> 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).

Schedule K, Part I, Bond Issues, Column (f), Line B

The issue date of the current refunded bonds was January 1, 1998.

Part III Private Business Use, Line 5, Column B

The percentage of financed property used in a private business use as a result of unrelated trade or business activity is based on the percentage of unrelated revenue to total revenue in the gift shop and theater within the space financed by this bond issue.

**SCHEDULE M  
(Form 990)**

**Noncash Contributions**

OMB No. 1545-0047

**2013**

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Inspection**

Department of the Treasury  
Internal Revenue Service

- ▶ **Complete if the organizations answered "Yes" on Form 990, Part IV, lines 29 or 30.**
- ▶ **Attach to Form 990.**
- ▶ **Information about Schedule M (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)**

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	2,116		
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	139	9,876,478.	Fair 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	6,722		
19 Food inventory .....				
20 Drugs and medical supplies .....				
21 Taxidermy .....	X	4		
22 Historical artifacts .....	X	3,591		
23 Scientific specimens .....	X	302,587		
24 Archeological artifacts .....	X	470		
25 Other ▶ ( Goods ) .....	X	136	974,113.	Fair Market Value
26 Other ▶ ( Arch cubic ft ) .....	X	1,293	0.	
27 Other ▶ ( Archival misc ) .....	X	2,174	0.	
28 Other ▶ ( ) .....				

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** 69

	Yes	No
30a During the year, did the organization receive by contribution any property reported in Part I, lines 1 - 28, that it must hold for at least three years from the date of the initial contribution, and which is not required to be used for exempt purposes for the entire holding period? .....		X
b If "Yes," describe the arrangement in Part II.		
31 Does the organization have a gift acceptance policy that requires the review of any non-standard contributions? .....	X	
32a Does the organization hire or use third parties or related organizations to solicit, process, or sell noncash contributions? .....	X	
b If "Yes," describe in Part II.		
33 If the organization did not 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.

Schedule M, Line 32b:

Although the Smithsonian acquires collections with 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.

Schedule M, Line 33:

In accordance with professional practice, as allowed by SFAS 116, the Smithsonian does not assign value to collection items acquired by donation.

**SCHEDULE O**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Supplemental Information to Form 990 or 990-EZ**

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.

▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)

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Name of the organization Smithsonian Institution Employer identification number 53-0206027

Form 990, Page 1, Line F

Name of principal officer:

Dr. David J. Skorton became Secretary of the Smithsonian effective July  
1, 2015.

Form 990, Page 1, Line K

Form of organization (Other)

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:

Research and Collections - The Smithsonian collections of nearly 137  
million objects (art, artifacts and scientific specimens) are the heart  
of the Institution. Research, public programs and exhibitions are based  
on the collections as is much of our online material. Care of the  
collections involves the work of registrars, conservators, museum  
specialists, designers, curators and editors. About 126 million objects

Name of the organization Smithsonian Institution	Employer identification number 53-0206027
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and specimens are part of the National Museum of Natural History

collections and 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.

Among the major scientific discoveries this year was the announcement

that toxic algae caused the death of 6-9 million-year-old marine

vertebrate skeletons found at a large fossil site in northern Chile.

Smithsonian and Chilean paleontologists found four separate layers of

skeletons indicating four distinct strandings over time. The ancient

whale graveyard research solved a mystery about the mass death of

whales that has intrigued scientists for centuries.

In more fossil news, the Smithsonian acquired a nearly-complete

Tyrannosaurus rex (T.-rex) fossil skeleton from Montana that will

become the centerpiece of the new dinosaur hall. The skeleton will be

conserved and recorded using the latest 3-D technology. The most

popular living animal at the Smithsonian is BaoBao, the giant panda

born at the National Zoo, who made her public debut January 18, 2014.

Form 990, Part III, Line 4b, Program Service Accomplishments:

Education, Public Programs and Exhibitions - The National Museum of

American History celebrated the 200th anniversary of the Star Spangled

Banner in June with concerts, exhibition tours, a naturalization

ceremony, a national sing-along on Flag Day, June 14, and a Smithsonian

Channel documentary, "A Star-Spangled Story: Battle for America."



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At the Sackler Gallery, the first major exhibition devoted to American artist James McNeill Whistler, "An American in London: Whistler and the Thames" opened in spring with 80 works from major museums in the United States and Britain.

The National Museum of the American Indian's exhibition, "Nation to Nation," presents the history of the United States and Indian nations through their treaties and more than 125 historical objects from the museum's vast collection. The first original treaty to be exhibited (on loan from the National Archives) was the 1794 treaty signed by President George Washington and leaders of the Six Nations or Iroquois Confederacy.

The Smithsonian's Asian-Pacific American Center presented its first exhibition, "Beyond Bollywood" focusing on the contributions of Indian immigrants in the United States. The display included a dress worn by First Lady Michelle Obama designed by Indian American Naeem Khan. A traveling version of the exhibition also began circulating this year.

Form 990, Part III, Line 4c, Program Service Accomplishments:

Membership - The National Associate program is our 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, the arts, and world cultures. "Smithsonian" magazine also hosts the annual Ingenuity Awards, honoring the best and the

Name of the organization Smithsonian Institution	Employer identification number 53-0206027
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brightest innovators who are making a difference in the world in a variety of fields.

"Friends of the Smithsonian" is a higher level membership program for people interested in a deeper 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 through donations to the Institution's exhibits and research.

The Smithsonian Associates offers unparalleled access to the Smithsonian's world of knowledge through innovative and engaging programming that promotes learning, enrichment, and creativity for people of all ages.

The largest museum-based educational program in the world, The Smithsonian Associates annually offers more than 750 seminars, performances, lectures, studio art classes, and local and regional study tours. Performances at Discovery Theater and more than 80 educationally focused summer camps are among the programs that foster the joys of learning for young people and their families. In FY 2014, notable guests included Justice Sonia Sotomayor, General Colin Powell, jazz legend Quincy Jones, filmmaker Ken Burns, and author Bill Nye.

Form 990, Part VI, Section A, line 1:

The Bylaws of the organization delegate 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 shall elect from its

Name of the organization Smithsonian Institution	Employer identification number 53-0206027
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members an Executive Committee consisting of three members. The Executive Committee shall have 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 11:

The Form 990 return is prepared by staff in the Office of Finance & Accounting (OF&A). It is then reviewed by the Director of OF&A, General Counsel, Chief Financial Officer, an adviser to the Board of Regent's Audit & Review Committee and the Secretary of the Smithsonian, as well as by external tax advisors. After this review process, the 990 is

Name of the organization Smithsonian Institution	Employer identification number 53-0206027
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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 a related 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 of outside positions and substantial shareholding in

for-profit business entities, outside positions in non-profit entities, and

interests and affiliations of the member or the member's immediate family

that have or sought to have a relationship to the Smithsonian--are reviewed

Name of the organization Smithsonian Institution	Employer identification number 53-0206027
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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 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.

Name of the organization Smithsonian Institution	Employer identification number 53-0206027
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Form 990, Part VI, Section C, Line 19:

The Smithsonian makes these documents available on its public website (www.si.edu). The documents can also be viewed at the Office of Finance & Accounting or mailed.

Form 990, Part XI, line 9, Changes in Net Assets:

Change in FONZ net assets	529,657.
Deferred gain on building	3,908,586.
Change in minority interest-SI Network	2,357,520.
Environmental remediation obligation FASB ASC 410-20	23,870,301.
Total to Form 990, Part XI, Line 9	30,666,064.

Form 990, Part VII and Schedule J-2

The following are abbreviations found in the body of the return:

- FONZ - Friends of the National Zoo
- NASM - National Air and Space Musuem
- NMNH - National Museum of Natural History
- OPMB - Office of Planning, Management and Budget
- SE - Smithsonian Enterprises

**SCHEDULE R  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Related Organizations and Unrelated Partnerships**

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.**  
▶ **Attach to Form 990.** ▶ **See separate instructions.**

▶ **Information about Schedule R (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)**

OMB No. 1545-0047

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**Open to Public  
Inspection**

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Smithsonian Institution

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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
Clay Fellowships Charitable Trust - 04-3560268, 10 Memorial Boulevard, Providence, RI 02903	Support of Smithsonian Astrophysical Observatory	Massachusetts	501(c)(3)	Line 11d, III-O	N/A		X
Smithsonian UK Charitable Trust c/o Withers LLP, 16 Old Bailey London, UNITED KINGDOM EC4M 7EG	Advance the work of the Smithsonian Institution worldwide	UNITED KINGDOM	501(c)(3)	Line 7	Smithsonian Institution	X	

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

Schedule R (Form 990) 2013

**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	

**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
Charitable Remainder Trusts (3) 1000 Jefferson Drive, S.W. Washington, DC 20560	Charitable Remainder Trust	DC	N/A						X
Charitable Remainder Trusts (2) 1000 Jefferson Drive, S.W. Washington, DC 20560	Charitable Remainder Trust	MA	N/A						X
Charitable Remainder Trusts (1) 1000 Jefferson Drive, S.W. Washington, DC 20560	Charitable Remainder Trust	MI	N/A						X
Charitable Remainder Trusts (5) 1000 Jefferson Drive, S.W. Washington, DC 20560	Charitable Remainder Trust	NY	N/A						X
Charitable Remainder Trusts (4) 1000 Jefferson Drive, S.W. Washington, DC 20560	Charitable Remainder Trust	VA	N/A						X



Part IV Continuation of Identification of Related Organizations Taxable as a Corporation or Trust

(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
Charitable Lead Trust (1) 1000 Jefferson Drive, S.W. Washington, DC 20560	Charitable Lead Trust	VA	N/A						X

**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?

	Yes	No
<b>a</b> Receipt of (i) interest (ii) annuities (iii) royalties or (iv) rent from a controlled entity .....		X
<b>b</b> Gift, grant, or capital contribution to related organization(s) .....		X
<b>c</b> Gift, grant, or capital contribution from related organization(s) .....	X	
<b>d</b> Loans or loan guarantees to or for related organization(s) .....		X
<b>e</b> Loans or loan guarantees by related organization(s) .....		X
<b>f</b> Dividends from related organization(s) .....		X
<b>g</b> Sale of assets to related organization(s) .....		X
<b>h</b> Purchase of assets from related organization(s) .....		X
<b>i</b> Exchange of assets with related organization(s) .....		X
<b>j</b> Lease of facilities, equipment, or other assets to related organization(s) .....		X
<b>k</b> Lease of facilities, equipment, or other assets from related organization(s) .....		X
<b>l</b> Performance of services or membership or fundraising solicitations for related organization(s) .....		X
<b>m</b> Performance of services or membership or fundraising solicitations by related organization(s) .....		X
<b>n</b> Sharing of facilities, equipment, mailing lists, or other assets with related organization(s) .....		X
<b>o</b> Sharing of paid employees with related organization(s) .....		X
<b>p</b> Reimbursement paid to related organization(s) for expenses .....		X
<b>q</b> Reimbursement paid by related organization(s) for expenses .....		X
<b>r</b> Other transfer of cash or property to related organization(s) .....		X
<b>s</b> Other transfer of cash or property from related organization(s) .....	X	

**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
(1) Charitable Lead Trust	S	241,472.	Cash
(2) Charitable Trust	S	105,885.	Cash
(3)			
(4)			
(5)			
(6)			

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

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

(a) Name, address, and EIN of entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Predominant income (related, unrelated, excluded from tax under section 512-514)	(e) Are all partners sec. 501(c)(3) orgs.?		(f) Share of total income	(g) Share of end-of-year assets	(h) Dispropor- tionate 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		Yes	No	

