

# Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung benefit trust or private foundation)

## 2010

**Open to Public Inspection**

Department of the Treasury  
Internal Revenue Service

▶ The organization may have to use a copy of this return to satisfy state reporting requirements.

|   |  |   |
|---|--|---|
| <b>A</b> For the 2010 calendar year, or tax year beginning <u>04/01</u> , 2010, and ending <u>03/31</u> , 20 <u>11</u>  |  |   |
| <b>B</b> Check if applicable:<br><input type="checkbox"/> Address change<br><input type="checkbox"/> Name change<br><input type="checkbox"/> Initial return<br><input type="checkbox"/> Terminated<br><input type="checkbox"/> Amended return<br><input type="checkbox"/> Application pending | <b>C</b> Name of organization <u>STATUE OF LIBERTY ELLIS ISLAND FOUNDATION INC</u><br>Doing Business As _____<br>Number and street (or P.O. box if mail is not delivered to street address) Room/suite<br><u>17 Battery Place Suite 210</u><br>City or town, state or country, and ZIP + 4<br><u>New York, NY 10004-1990</u> | <b>D</b> Employer identification number<br><u>13-3118415</u>  |
|   | <b>E</b> Telephone number<br><u>212-561-4500</u>   | <b>G</b> Gross receipts \$ <u>12,160,701</u>  |
|   | <b>F</b> Name and address of principal officer: <u>Stephen A Briganti</u><br><u>17 Battery Place, Suite 210, New York, NY 10004</u>  | <b>H(a)</b> Is this a group return for affiliates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br><b>H(b)</b> Are all affiliates included? <input type="checkbox"/> Yes <input type="checkbox"/> No<br>If "No," attach a list. (see instructions) |
|   | <b>I</b> Tax-exempt status: <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)</b> Group exemption number ▶  |
| <b>J</b> Website: ▶ <u>www.ellisland.org</u>  |  | <b>K</b> Form of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶   |
| <b>L</b> Year of formation: <u>1981</u>   |  | <b>M</b> State of legal domicile: <u>DE</u>   |

### Part I Summary

|                                    |  |   |                                  |                     |
|------------------------------------|--|---|----------------------------------|---------------------|
| <b>Activities &amp; Governance</b> | <b>1</b>   | Briefly describe the organization's mission or most significant activities: <u>The Statue of Liberty-Ellis Island Foundation was established to raise funds for the restorations of the Statue of Liberty and Ellis Island. In 2001 the Foundation opened the American Family Immigration History Center® and its website at www.ellisland.org, providing free access to the immigration (Continued on Schedule O, Statement 1)</u> |                                  |                     |
|                                    | <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) . . . . .   | <b>3</b>                         | <b>19</b>           |
|                                    | <b>4</b>   | Number of independent voting members of the governing body (Part VI, line 1b) . . . . .   | <b>4</b>                         | <b>18</b>           |
|                                    | <b>5</b>   | Total number of individuals employed in calendar year 2010 (Part V, line 2a) . . . . .  | <b>5</b>                         | <b>41</b>           |
|                                    | <b>6</b>   | Total number of volunteers (estimate if necessary) . . . . .  | <b>6</b>                         | <b>38</b>           |
|                                    | <b>7a</b>  | Total unrelated business revenue from Part VIII, column (C), line 12 . . . . .  | <b>7a</b>                        | <b>13,425</b>       |
| <b>b</b>                           | Net unrelated business taxable income from Form 990-T, line 34 . . . . . | <b>7b</b>   | <b>12,425</b>                    |                     |
| <b>Revenue</b>                     | <b>8</b>   | Contributions and grants (Part VIII, line 1h) . . . . .   | <b>Prior Year</b>                | <b>Current Year</b> |
|                                    | <b>9</b>   | Program service revenue (Part VIII, line 2g) . . . . .  | 2,636,998                        | 2,800,404           |
|                                    | <b>10</b>  | Investment income (Part VIII, column (A), lines 3, 4, and 7d) . . . . .   | 1,052,325                        | 908,055             |
|                                    | <b>11</b>  | Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) . . . . .  | 950,630                          | 757,451             |
|                                    | <b>12</b>  | Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12) . . . . .  | 1,208,350                        | 955,395             |
| <b>Expenses</b>                    | <b>13</b>  | Grants and similar amounts paid (Part IX, column (A), lines 1–3) . . . . .  | 5,848,303                        | 5,421,305           |
|                                    | <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) . . . . .   | 0                                | 0                   |
|                                    | <b>16a</b>   | Professional fundraising fees (Part IX, column (A), line 11e) . . . . .   | 2,874,369                        | 2,915,003           |
|                                    | <b>b</b>   | Total fundraising expenses (Part IX, column (D), line 25) ▶ <u>762,172</u>  | 9,000                            | 48,190              |
|                                    | <b>17</b>  | Other expenses (Part IX, column (A), lines 11a–11d, 11f–24f) . . . . .  | 2,655,309                        | 5,020,152           |
|                                    | <b>18</b>  | Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25) . . . . .   | 5,538,678                        | 7,983,345           |
| <b>19</b>                          | Revenue less expenses. Subtract line 18 from line 12 . . . . .           | 309,625   | -2,562,040                       |                     |
| <b>Net Assets or Fund Balances</b> | <b>20</b>  | Total assets (Part X, line 16) . . . . .  | <b>Beginning of Current Year</b> | <b>End of Year</b>  |
|                                    | <b>21</b>  | Total liabilities (Part X, line 26) . . . . .   | 37,399,733                       | 39,194,656          |
|                                    | <b>22</b>  | Net assets or fund balances. Subtract line 21 from line 20 . . . . .  | 1,463,201                        | 1,778,854           |
|                                    |  |   | 35,936,532                       | 37,415,802          |

### 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 <u>Aug 9, 2011</u> |
|                  | Gary Kelley, Senior VP & Treasurer<br>Type or print name and title |                         |

|                               |                            |                      |      |   |      |
|-------------------------------|----------------------------|----------------------|------|---|------|
| <b>Paid Preparer Use Only</b> | Print/Type preparer's name | Preparer's signature | Date | Check <input type="checkbox"/> if self-employed | PTIN |
|                               | Firm's name ▶              | Firm's EIN ▶         |      |   |      |
|                               | Firm's address ▶           | Phone no.            |      |   |      |

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 to any question in this Part III

**1** Briefly describe the organization's mission:

To restore and preserve the Statue of Liberty National Monument, which includes, in addition to the Statue itself, Ellis Island and its Museum of Immigration; Custody and control of records, relics and other things of historic interest related to the Statue of Liberty and the millions of immigrants who entered the United States via Ellis Island as well as all immigration to the United States; To foster,  
(Continued on Schedule O, Statement 2)

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

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

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

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

**4** Describe the exempt purpose achievements for each of the organization's three largest program services by expenses. Section 501(c)(3) and 501(c)(4) organizations and section 4947(a)(1) trusts 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 \$ 170,432 including grants of \$ 0 ) (Revenue \$ 0 )

Restoration and Preservation of facilities on Ellis Island and Liberty Island. Projects funded included: Repair and rehabilitation of exhibits and audio visual media throughout the museums' exhibits and theaters. Liberty Island welcomed 3,149,503 visitors and Ellis Island welcomed 2,051,362 visitors. The website for the American Immigrant Wall of Honor (R), a major exhibit at Ellis Island and on the web, is at www.wallofhonor.org, and received 919,761 page views and 148,103 unique visitors.

**4b** (Code: ) (Expenses \$ 2,617,138 including grants of \$ 0 ) (Revenue \$ 985,963 )

The American Family Immigration History Center(R) (AFIHC) at Ellis Island and www.ellisland.org features an electronic database that provides easy access to the valuable information from the passenger manifests and customs lists on the 25 million immigrants, passengers and crew members that entered the United States through the Port of New York/Ellis Island between 1892-1924, the peak years of Ellis Island's processing. Search is provided as a free service and reproductions of the manifests and pictures of the ships of passage are available for purchase. Visitors to www.ellisland.org which offers these manifests, lists and ship images received 94,481,477 page views and 3,292,129 unique visitors. Visitors to the Ellis Island AFIHC center were 108,592. Revenues are generated by admission fees to the Center at Ellis Island and sales from manifests, lists, ship images and other mission related products on the web and at the center.

**4c** (Code: ) (Expenses \$ 2,836,087 including grants of \$ 0 ) (Revenue \$ 0 )

The Peopling of America (R) Center, the Foundation's newest program and currently under development, will be a significant expansion of the Ellis Island Immigration Museum to tell the story of those who arrived to America from its earliest days before the Ellis Island era as well as those who came after World War II and right up to the present. Upon its completion the museum, which will then be covering the entire story of the population of America, will be renamed: Ellis Island: The National Museum of Immigration. Costs expended were for design, construction, exhibit fabrication, architectural and engineering services. A website related to this program is at www.flagoffaces.org and received 919,761 page views and 148,013 unique visitors.

**4d** Other program services. (Describe in Schedule O.) See Schedule O, Statement 3  
(Expenses \$ 684,547 including grants of \$ 0 ) (Revenue \$ 762,729 )

**4e** Total program service expenses ▶ 6,308,204

**Part IV Checklist of Required Schedules**

|   | Yes                                 | No                                  |
|---|-------------------------------------|-------------------------------------|
| <b>1</b> 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>   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| <b>2</b> Is the organization required to complete Schedule B, Schedule of Contributors? (see instructions)  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| <b>3</b> 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>  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>4</b> <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>   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>5</b> 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>                         | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>6</b> Did the organization maintain any donor advised funds or any similar funds or accounts where 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>  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>7</b> 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>                                      | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>8</b> Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i>   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>9</b> Did the organization report an amount in Part X, line 21; 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> | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>10</b> Did the organization, directly or through a related organization, hold assets in term, permanent, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V</i>   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| <b>11</b> 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.   |                                     |                                     |
| <b>a</b> 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>   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| <b>b</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>   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| <b>c</b> 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>   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>d</b> 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>  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>e</b> Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i>   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>f</b> 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>      | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| <b>12 a</b> Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI, XII, and XIII</i>  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| <b>b</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, XII, and XIII is optional</i>              | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>13</b> Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i>  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>14 a</b> Did the organization maintain an office, employees, or agents outside of the United States?   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>b</b> Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, and program service activities outside the United States? <i>If "Yes," complete Schedule F, Parts I and IV</i>                     | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>15</b> Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or assistance to any organization or entity located outside the United States? <i>If "Yes," complete Schedule F, Parts II and IV</i>                              | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>16</b> Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or assistance to individuals located outside the United States? <i>If "Yes," complete Schedule F, Parts III and IV</i>                                  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>17</b> 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 (see instructions)</i>                                      | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| <b>18</b> 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>   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>19</b> 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>   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>20 a</b> Did the organization operate one or more hospitals? <i>If "Yes," complete Schedule H</i>  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>b</b> If "Yes" to line 20a, did the organization attach its audited financial statements to this return? <b>Note.</b> Some Form 990 filers that operate one or more hospitals must attach audited financial statements (see instructions)                        | <input type="checkbox"/>            | <input type="checkbox"/>            |

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

|   | Yes | No |
|---|-----|----|
| <b>21</b> Did the organization report more than \$5,000 of grants and other assistance to governments and organizations in the United States on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II</i> . . . . .   |     | ✓  |
| <b>22</b> Did the organization report more than \$5,000 of grants and 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> . . . . .  |     | ✓  |
| <b>23</b> 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> . . . . .                           | ✓   |    |
| <b>24a</b> 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 25</i> . . . . . |     | ✓  |
| <b>b</b> Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? . . . . .  |     |    |
| <b>c</b> Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? . . . . .   |     |    |
| <b>d</b> Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? . . . . .  |     |    |
| <b>25a</b> <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> . . . . .  |     | ✓  |
| <b>b</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> . . . . .             |     | ✓  |
| <b>26</b> Was a loan to or by a current or former officer, director, trustee, key employee, highly compensated employee, or disqualified person outstanding as of the end of the organization's tax year? <i>If "Yes," complete Schedule L, Part II</i> . . . . .   |     | ✓  |
| <b>27</b> Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor, or a grant selection committee member, or to a person related to such an individual? <i>If "Yes," complete Schedule L, Part III</i> . . . . .                 |     | ✓  |
| <b>28</b> 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):   |     |    |
| <b>a</b> A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> . . . . .   |     | ✓  |
| <b>b</b> A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> . . . . .  |     | ✓  |
| <b>c</b> 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> . . . . .  |     | ✓  |
| <b>29</b> Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i> . . . . .   |     | ✓  |
| <b>30</b> Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i> . . . . .   |     | ✓  |
| <b>31</b> Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i> . . . . .   |     | ✓  |
| <b>32</b> 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> . . . . .   |     | ✓  |
| <b>33</b> 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> . . . . .   |     | ✓  |
| <b>34</b> Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Parts II, III, IV, and V, line 1</i> . . . . .  |     | ✓  |
| <b>35</b> Is any related organization a controlled entity within the meaning of section 512(b)(13)? . . . . .   |     | ✓  |
| <b>a</b> 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> . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                 |     |    |
| <b>36</b> <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> . . . . .  |     | ✓  |
| <b>37</b> 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> . . . . .  |     | ✓  |
| <b>38</b> Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11 and 19? <b>Note.</b> 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 to any question in this Part V

|            |  | Yes        | No |   |  |
|------------|--|------------|----|---|--|
| <b>1a</b>  | Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable . . . . .   | <b>1a</b>  | 7  |   |  |
| <b>b</b>   | Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable . . . . .  | <b>1b</b>  | 0  |   |  |
| <b>c</b>   | Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? . . . . .   | <b>1c</b>  | ✓  |   |  |
| <b>2a</b>  | Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return  | <b>2a</b>  | 41 |   |  |
| <b>b</b>   | If at least one is reported on line 2a, did the organization file all required federal employment tax returns? . . . . .<br><b>Note.</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file. (see instructions)  | <b>2b</b>  | ✓  |   |  |
| <b>3a</b>  | Did the organization have unrelated business gross income of \$1,000 or more during the year? . . . . .  | <b>3a</b>  | ✓  |   |  |
| <b>b</b>   | If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O . . . . .   | <b>3b</b>  | ✓  |   |  |
| <b>4a</b>  | At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? . . . . .                                   | <b>4a</b>  |    | ✓ |  |
| <b>b</b>   | If "Yes," enter the name of the foreign country: ▶ _____<br>See instructions for filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts.   |            |    |   |  |
| <b>5a</b>  | Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . . . . .  | <b>5a</b>  |    | ✓ |  |
| <b>b</b>   | Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?   | <b>5b</b>  |    | ✓ |  |
| <b>c</b>   | If "Yes" to line 5a or 5b, did the organization file Form 8886-T? . . . . .  | <b>5c</b>  |    |   |  |
| <b>6a</b>  | Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible? . . . . .  | <b>6a</b>  |    | ✓ |  |
| <b>b</b>   | If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? . . . . .  | <b>6b</b>  |    |   |  |
| <b>7</b>   | <b>Organizations that may receive deductible contributions under section 170(c).</b>   |            |    |   |  |
| <b>a</b>   | Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor? . . . . .  | <b>7a</b>  |    | ✓ |  |
| <b>b</b>   | If "Yes," did the organization notify the donor of the value of the goods or services provided? . . . . .  | <b>7b</b>  |    |   |  |
| <b>c</b>   | Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? . . . . .   | <b>7c</b>  |    | ✓ |  |
| <b>d</b>   | If "Yes," indicate the number of Forms 8282 filed during the year . . . . .  | <b>7d</b>  |    |   |  |
| <b>e</b>   | Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?  | <b>7e</b>  |    | ✓ |  |
| <b>f</b>   | Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . . . .   | <b>7f</b>  |    | ✓ |  |
| <b>g</b>   | If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?   | <b>7g</b>  |    |   |  |
| <b>h</b>   | If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?   | <b>7h</b>  |    |   |  |
| <b>8</b>   | <b>Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.</b> Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year? . . . . . | <b>8</b>   |    |   |  |
| <b>9</b>   | <b>Sponsoring organizations maintaining donor advised funds.</b>   |            |    |   |  |
| <b>a</b>   | Did the organization make any taxable distributions under section 4966? . . . . .  | <b>9a</b>  |    |   |  |
| <b>b</b>   | Did the organization make a distribution to a donor, donor advisor, or related person? . . . . .   | <b>9b</b>  |    |   |  |
| <b>10</b>  | <b>Section 501(c)(7) organizations.</b> Enter:   |            |    |   |  |
| <b>a</b>   | Initiation fees and capital contributions included on Part VIII, line 12 . . . . .   | <b>10a</b> |    |   |  |
| <b>b</b>   | Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities . . . . .  | <b>10b</b> |    |   |  |
| <b>11</b>  | <b>Section 501(c)(12) organizations.</b> Enter:  |            |    |   |  |
| <b>a</b>   | Gross income from members or shareholders . . . . .  | <b>11a</b> |    |   |  |
| <b>b</b>   | Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.) . . . . .   | <b>11b</b> |    |   |  |
| <b>12a</b> | <b>Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041?  | <b>12a</b> |    |   |  |
| <b>b</b>   | If "Yes," enter the amount of tax-exempt interest received or accrued during the year . . . . .  | <b>12b</b> |    |   |  |
| <b>13</b>  | <b>Section 501(c)(29) qualified nonprofit health insurance issuers.</b>  |            |    |   |  |
| <b>a</b>   | Is the organization licensed to issue qualified health plans in more than one state? . . . . .<br><b>Note.</b> See the instructions for additional information the organization must report on Schedule O.   | <b>13a</b> |    |   |  |
| <b>b</b>   | Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans . . . . .  | <b>13b</b> |    |   |  |
| <b>c</b>   | Enter the amount of reserves on hand . . . . .   | <b>13c</b> |    |   |  |
| <b>14a</b> | Did the organization receive any payments for indoor tanning services during the tax year? . . . . .   | <b>14a</b> |    | ✓ |  |
| <b>b</b>   | If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O . . . . .  | <b>14b</b> |    |   |  |

**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 to any question in this Part VI

**Section A. Governing Body and Management**

|  | Yes                                 | No                                  |
|--|-------------------------------------|-------------------------------------|
| <b>1a</b> Enter the number of voting members of the governing body at the end of the tax year . . . . .  |                                     |                                     |
| <b>1b</b> Enter the number of voting members included in line 1a, above, who are independent . . . . .   |                                     |                                     |
| <b>2</b> 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? . . . . .   |                                     | <input checked="" type="checkbox"/> |
| <b>3</b> 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? . . . . . |                                     | <input checked="" type="checkbox"/> |
| <b>4</b> Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?  |                                     | <input checked="" type="checkbox"/> |
| <b>5</b> Did the organization become aware during the year of a significant diversion of the organization's assets? . . . . .  |                                     | <input checked="" type="checkbox"/> |
| <b>6</b> Does the organization have members or stockholders? . . . . .   |                                     | <input checked="" type="checkbox"/> |
| <b>7a</b> Does the organization have members, stockholders, or other persons who may elect one or more members of the governing body? . . . . .  |                                     | <input checked="" type="checkbox"/> |
| <b>7b</b> Are any decisions of the governing body subject to approval by members, stockholders, or other persons?  |                                     | <input checked="" type="checkbox"/> |
| <b>8</b> Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:   |                                     |                                     |
| <b>a</b> The governing body? . . . . .   | <input checked="" type="checkbox"/> |                                     |
| <b>b</b> Each committee with authority to act on behalf of the governing body? . . . . .   | <input checked="" type="checkbox"/> |                                     |
| <b>9</b> 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 . . . . .        |                                     | <input checked="" type="checkbox"/> |

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

|   | Yes                                 | No                                  |
|---|-------------------------------------|-------------------------------------|
| <b>10a</b> Does the organization have local chapters, branches, or affiliates? . . . . .  |                                     | <input checked="" type="checkbox"/> |
| <b>10b</b> If "Yes," does the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with those of the organization? . . . . .   |                                     |                                     |
| <b>11a</b> Has the organization provided a copy of this Form 990 to all members of its governing body before filing the form? . . . . .   | <input checked="" type="checkbox"/> |                                     |
| <b>11b</b> Describe in Schedule O the process, if any, used by the organization to review this Form 990.  |                                     |                                     |
| <b>12a</b> Does the organization have a written conflict of interest policy? If "No," go to line 13 . . . . .   | <input checked="" type="checkbox"/> |                                     |
| <b>12b</b> Are officers, directors or trustees, and key employees required to disclose annually interests that could give rise to conflicts? . . . . .  | <input checked="" type="checkbox"/> |                                     |
| <b>12c</b> Does the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this is done . . . . .   | <input checked="" type="checkbox"/> |                                     |
| <b>13</b> Does the organization have a written whistleblower policy? . . . . .  | <input checked="" type="checkbox"/> |                                     |
| <b>14</b> Does the organization have a written document retention and destruction policy? . . . . .   | <input checked="" type="checkbox"/> |                                     |
| <b>15</b> 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?  |                                     |                                     |
| <b>15a</b> The organization's CEO, Executive Director, or top management official . . . . .   | <input checked="" type="checkbox"/> |                                     |
| <b>15b</b> Other officers or key employees of the organization . . . . .  | <input checked="" type="checkbox"/> |                                     |
| If "Yes" to line 15a or 15b, describe the process in Schedule O. (See instructions.) . . . . .  |                                     |                                     |
| <b>16a</b> Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? . . . . .  |                                     | <input checked="" type="checkbox"/> |
| <b>16b</b> If "Yes," has the organization adopted a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and taken 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 ► [See Schedule O, Statement 4](#)
- 18** Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection. Indicate how you make these available. Check all that apply.  
 Own website     Another's website     Upon request
- 19** Describe in Schedule O whether (and if so, how), the organization makes its governing documents, conflict of interest policy, and financial statements available to the public.
- 20** State the name, physical address, and telephone number of the person who possesses the books and records of the organization: ► [Gary E Kelley, \(212\)561-4500](#)  
 17 Battery Place 210, New York, NY 10004

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

Check if Schedule O contains a response to any question 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)<br>Name and Title   | (B)<br>Average hours per week (describe hours for related organizations in Schedule O) | (C)<br>Position (check all that apply) |                       |         |              |                              |         | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>Estimated amount of other compensation from the organization and related organizations |
|---|--|--|-----------------------|---------|--------------|------------------------------|---------|--|---|---|
|   |  | Individual trustee or director         | Institutional trustee | Officer | Key employee | Highest compensated employee | Former  |  |   |   |
| <u>Stephen A Briganti</u><br>President and CEO                          | 40   | ✓                                      |                       | ✓       |              |                              | 297,016 | 0  | 50,237  |   |
| <u>Michael Barrera</u><br>Director                                      | 1  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>Eugene Bay</u><br>Director, Chair Compensation Committee             | 2  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>Albert Bellas</u><br>Director, Chair of Investment Committee         | 2  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>Joseph E Doddridge</u><br>Director                                   | 1  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>Michael Donovan</u><br>Director, Chair Long Range Planning Committee | 2  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>Keith Eastin</u><br>Director   | 1  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>Emilio Estefan</u><br>Director                                       | 1  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>Tina Santi Flaherty</u><br>Director                                  | 1  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>Gedale Horowitz</u><br>Director, Chair Governing Committee           | 2  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>Lee A Iacocca</u><br>Founding Chariman                               | 1  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>Karen Jurgensen</u><br>Director                                      | 1  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>Tommy Lasorda</u><br>Director  | 1  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>Peter Lehrer</u><br>Director   | 1  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>William May</u><br>Director  | 1  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |
| <u>Jose Natori</u><br>Director  | 1  | ✓                                      |                       |         |              |                              | 0       | 0  | 0   |   |

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

| (A)<br>Name and title  | (B)<br>Average hours per week (describe hours for related organizations in Schedule O) | (C)<br>Position (check all that apply) |                       |                                     |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>Estimated amount of other compensation from the organization and related organizations |
|--|--|--|-----------------------|-------------------------------------|--------------|------------------------------|--------|--|---|---|
|  |  | Individual trustee or director         | Institutional trustee | Officer                             | Key employee | Highest compensated employee | Former |  |   |   |
| Michael J O'Bannon<br>Director                                 | 1  | <input checked="" type="checkbox"/>    |                       |                                     |              |                              |        | 0  | 0   | 0   |
| Paul Weaver<br>Chairman of the Board of Directors              | 3  | <input checked="" type="checkbox"/>    |                       |                                     |              |                              |        | 0  | 0   | 0   |
| Warren Winiarski<br>Director, and Chair Family History Awards  | 2  | <input checked="" type="checkbox"/>    |                       |                                     |              |                              |        | 0  | 0   | 0   |
| Karl Anderson<br>Vice President of Administration              | 40   |  |                       | <input checked="" type="checkbox"/> |              |                              |        | 90,752   | 0   | 13,612  |
| Sam Daniel<br>Vice President Technology                        | 40   |  |                       | <input checked="" type="checkbox"/> |              |                              |        | 92,734   | 0   | 10,154  |
| Daniel Keefe<br>Vice President Advancement                     | 40   |  |                       | <input checked="" type="checkbox"/> |              |                              |        | 115,069  | 0   | 25,016  |
| Gary E Kelley<br>Senior Vice President, Secretary-Treasurer    | 40   |  |                       | <input checked="" type="checkbox"/> |              |                              |        | 213,523  | 0   | 260,056   |
| Elad Rosin<br>Controller                                       | 40   |  |                       | <input checked="" type="checkbox"/> |              |                              |        | 101,487  | 0   | 20,092  |
| Peg Zitko<br>Vice President Public Affaris                     | 40   |  |                       | <input checked="" type="checkbox"/> |              |                              |        | 120,006  | 0   | 18,332  |
| <b>1b Sub-total</b>  |  |  |                       |                                     |              |                              |        |  |   |   |
| <b>c Total from continuation sheets to Part VII, Section A</b> |  |  |                       |                                     |              |                              |        |  |   |   |
| <b>d Total (add lines 1b and 1c)</b>                           |  |  |                       |                                     |              |                              |        | 1,030,587  | 0   | 397,499   |

**2** Total number of individuals (including but not limited to those listed above) who received more than \$100,000 in reportable compensation from the organization **▶ 5**

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

**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.

| (A)<br>Name and business address   | (B)<br>Description of services | (C)<br>Compensation |
|--|--------------------------------|---------------------|
| ESI Design, 111 Fifth Avenue, New York, NY 10003                         | Design Services for Peopling   | 522,052             |
| Highland Associates, 228 East 45th Stree, New York, NY 10010             | Architecture and Engineering   | 358,938             |
| Racanelli Enterprises, 400 Gotham Parkway, Carlstadt, NJ 07072           | Printing                       | 156,023             |
| Hadley Exhibits Inc, 1700 Elmwood Avenue, Buffalo, NY 14207-2408         | Exhibit Fabrication            | 924,092             |
| Direct Mail Depot Inc, 200 Circle Drive North, Piscataway, NJ 08854-3705 | Printing and Direct Mailing Se | 176,025             |

**2** Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 in compensation from the organization **▶ 5**

**Part VIII Statement of Revenue**

|   |   |  | (A)<br>Total revenue | (B)<br>Related or<br>exempt<br>function<br>revenue | (C)<br>Unrelated<br>business<br>revenue | (D)<br>Revenue<br>excluded from tax<br>under sections<br>512, 513, or 514 |  |
|---|---|--|----------------------|--|---|---|--|
| <b>Contributions, gifts, grants<br/>and other similar amounts</b>             | <b>1a</b> Federated campaigns . . . . .   | <b>1a</b>  | 0                    |  |   |   |  |
|   | <b>b</b> Membership dues . . . . .  | <b>1b</b>  | 0                    |  |   |   |  |
|   | <b>c</b> Fundraising events . . . . .   | <b>1c</b>  | 0                    |  |   |   |  |
|   | <b>d</b> Related organizations . . . . .  | <b>1d</b>  | 0                    |  |   |   |  |
|   | <b>e</b> Government grants (contributions)  | <b>1e</b>  | 0                    |  |   |   |  |
|   | <b>f</b> All other contributions, gifts, grants,<br>and similar amounts not included above  | <b>1f</b>  | 2,800,404            |  |   |   |  |
|   | <b>g</b> Noncash contributions included in lines 1a-1f: \$  |  | 2,234                |  |   |   |  |
|   | <b>h Total.</b> Add lines 1a-1f . . . . .   |  | 2,800,404            |  |   |   |  |
| <b>Program Service Revenue</b>  | <b>Business Code</b>  |  |                      |  |   |   |  |
|   | <b>2a</b> AFIHC Admission Fees  | 712100   | 135,326              | 135,326  | 0                                       | 0   |  |
|   | <b>b</b> Audio Tours  | 712100   | 762,729              | 762,729  | 0                                       | 0   |  |
|   | <b>c</b> AFIHC Usage Fee  | 712100   | 10,000               | 10,000   | 0                                       | 0   |  |
|   | <b>d</b> _____  |  |                      |  |   |   |  |
|   | <b>e</b> _____  |  |                      |  |   |   |  |
|   | <b>f</b> All other program service revenue .  |  | 0                    | 0  | 0                                       | 0   |  |
| <b>g Total.</b> Add lines 2a-2f . . . . .                                     |   | 908,055  |                      |  |   |   |  |
| <b>Other Revenue</b>  | <b>3</b> Investment income (including dividends, interest,<br>and other similar amounts) . . . . .  |  | 598,167              | 0  | 13,425                                  | 584,742   |  |
|   | <b>4</b> Income from investment of tax-exempt bond proceeds   |  | 0                    | 0  | 0                                       | 0   |  |
|   | <b>5</b> Royalties . . . . .  |  | 109,627              | 0  | 0                                       | 109,627   |  |
|   | <b>6a</b> Gross Rents . . . . .   | (i) Real   | 0                    |  |   |   |  |
|   |   | (ii) Personal  | 0                    |  |   |   |  |
|   |   | <b>b</b> Less: rental expenses                                     | 0                    |  |   |   |  |
|   |   | <b>c</b> Rental income or (loss)                                   | 0                    |  |   |   |  |
|   | <b>d</b> Net rental income or (loss) . . . . .  |  | 0                    | 0  | 0                                       | 0   |  |
|   | <b>7a</b> Gross amount from sales of<br>assets other than inventory   | (i) Securities   | 6,661,882            |  |   |   |  |
|   |   | (ii) Other   | 0                    |  |   |   |  |
|   |   | <b>b</b> Less: cost or other basis<br>and sales expenses . . . . . | 6,502,598            |  |   |   |  |
|   |   | <b>c</b> Gain or (loss) . . . . .                                  | 159,284              |  |   |   |  |
|   | <b>d</b> Net gain or (loss) . . . . .   |  | 159,284              | 0  | 0                                       | 159,284   |  |
|   | <b>8a</b> Gross income from fundraising<br>events (not including \$ _____<br>of contributions reported on line 1c).<br>See Part IV, line 18 . . . . . | <b>a</b>   | 0                    |  |   |   |  |
|   |   | <b>b</b> Less: direct expenses . . . . .                           | 0                    |  |   |   |  |
|   |   | <b>c</b> Net income or (loss) from fundraising events .            | 0                    |  | 0                                       | 0   |  |
|   | <b>9a</b> Gross income from gaming activities.<br>See Part IV, line 19 . . . . .  | <b>a</b>   | 0                    |  |   |   |  |
| <b>b</b> Less: direct expenses . . . . .                                      |   | 0  |                      |  |   |   |  |
| <b>c</b> Net income or (loss) from gaming activities . .                      |   | 0  |                      | 0  | 0                                       |   |  |
| <b>10a</b> Gross sales of inventory, less<br>returns and allowances . . . . . | <b>a</b>  | 1,077,435  |                      |  |   |   |  |
|   | <b>b</b> Less: cost of goods sold . . . . .   | 236,798  |                      |  |   |   |  |
|   | <b>c</b> Net income or (loss) from sales of inventory . .   | 840,637  | 840,637              | 0  | 0                                       |   |  |
| Miscellaneous Revenue   |   | <b>Business Code</b>   |                      |  |   |   |  |
| <b>11a</b> Sales Tax Vendor Discount  | 712100  | 5,131  | 0                    | 0  | 5,131                                   |   |  |
| <b>b</b> _____  |   |  |                      |  |   |   |  |
| <b>c</b> _____  |   |  |                      |  |   |   |  |
| <b>d</b> All other revenue . . . . .  |   | 0  | 0                    | 0  | 0                                       |   |  |
| <b>e Total.</b> Add lines 11a-11d . . . . .                                   |   | 5,131  |                      |  |   |   |  |
| <b>12 Total revenue.</b> See instructions. . . . .                            |   | 5,421,305  | 1,748,692            | 13,425   | 858,784                                 |   |  |

**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) but are not required to complete columns (B), (C), and (D).

| <b>Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.</b> |   | (A)<br>Total expenses | (B)<br>Program service expenses | (C)<br>Management and general expenses | (D)<br>Fundraising expenses |
|---|---|-----------------------|---------------------------------|--|-----------------------------|
| 1   | Grants and other assistance to governments and organizations in the U.S. See Part IV, line 21 . . . . .   | 0                     | 0                               |  |                             |
| 2   | Grants and other assistance to individuals in the U.S. See Part IV, line 22 . . . . .   | 0                     | 0                               |  |                             |
| 3   | Grants and other assistance to governments, organizations, and individuals outside the U.S. See Part IV, lines 15 and 16 . . . . .  | 0                     | 0                               |  |                             |
| 4   | Benefits paid to or for members . . . . .   | 0                     | 0                               |  |                             |
| 5   | Compensation of current officers, directors, trustees, and key employees . . . . .  | 1,457,048             | 955,150                         | 340,013                                | 161,885                     |
| 6   | Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) . . . . .   | 0                     | 0                               | 0                                      | 0                           |
| 7   | Other salaries and wages . . . . .  | 1,081,001             | 927,542                         | 150,714                                | 2,745                       |
| 8   | Pension plan contributions (include section 401(k) and section 403(b) employer contributions) . . . . .   | 55,990                | 49,396                          | 6,409                                  | 185                         |
| 9   | Other employee benefits . . . . .   | 180,888               | 171,136                         | 9,173                                  | 579                         |
| 10  | Payroll taxes . . . . .   | 140,076               | 112,480                         | 18,130                                 | 9,466                       |
| 11  | Fees for services (non-employees):  |                       |                                 |  |                             |
| a   | Management . . . . .  | 0                     | 0                               | 0                                      | 0                           |
| b   | Legal . . . . .   | 31,677                | 0                               | 31,677                                 | 0                           |
| c   | Accounting . . . . .  | 71,203                | 0                               | 71,203                                 | 0                           |
| d   | Lobbying . . . . .  | 0                     | 0                               | 0                                      | 0                           |
| e   | Professional fundraising services. See Part IV, line 17 . . . . .   | 48,190                |                                 |  | 48,190                      |
| f   | Investment management fees . . . . .  | 130,198               | 0                               | 130,198                                | 0                           |
| g   | Other . . . . .   | 2,854,177             | 2,818,478                       | 19,765                                 | 15,934                      |
| 12  | Advertising and promotion . . . . .   | 607,547               | 142,420                         | 25                                     | 465,102                     |
| 13  | Office expenses . . . . .   | 444,177               | 368,192                         | 40,393                                 | 35,592                      |
| 14  | Information technology . . . . .  | 75,673                | 70,470                          | 4,043                                  | 1,160                       |
| 15  | Royalties . . . . .   | 0                     | 0                               | 0                                      | 0                           |
| 16  | Occupancy . . . . .   | 348,532               | 278,813                         | 55,815                                 | 13,904                      |
| 17  | Travel . . . . .  | 37,505                | 29,960                          | 7,175                                  | 370                         |
| 18  | Payments of travel or entertainment expenses for any federal, state, or local public officials . . . . .  | 0                     | 0                               | 0                                      | 0                           |
| 19  | Conferences, conventions, and meetings . . . . .  | 0                     | 0                               | 0                                      | 0                           |
| 20  | Interest . . . . .  | 0                     | 0                               | 0                                      | 0                           |
| 21  | Payments to affiliates . . . . .  | 0                     | 0                               | 0                                      | 0                           |
| 22  | Depreciation, depletion, and amortization . . . . .   | 297,297               | 286,434                         | 8,690                                  | 2,173                       |
| 23  | Insurance . . . . .   | 94,651                | 75,721                          | 15,144                                 | 3,786                       |
| 24  | Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24f. If line 24f amount exceeds 10% of line 25, column (A) amount, list line 24f expenses on Schedule O.)   |                       |                                 |  |                             |
| a   | <u>Loss on disposal of fixed assets</u> . . . . .   | 27,515                | 22,012                          | 4,402                                  | 1,101                       |
| b   | -----   |                       |                                 |  |                             |
| c   | -----   |                       |                                 |  |                             |
| d   | -----   |                       |                                 |  |                             |
| e   | -----   |                       |                                 |  |                             |
| f   | All other expenses . . . . .  | 0                     | 0                               | 0                                      | 0                           |
| 25  | <b>Total functional expenses.</b> Add lines 1 through 24f   | 7,983,345             | 6,308,204                       | 912,969                                | 762,172                     |
| 26  | <b>Joint costs.</b> Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720). Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation . . . . . |                       |                                 |  |                             |

**Part X Balance Sheet**

|   |  | (A)                  |            | (B)                |  |
|---|--|----------------------|------------|--------------------|--|
|   |  | Beginning of year    |            | End of year        |  |
| <b>Assets</b>   | <b>1</b> Cash—non-interest-bearing . . . . .   | 768,184              | <b>1</b>   | 600,512            |  |
|   | <b>2</b> Savings and temporary cash investments . . . . .  | 297,268              | <b>2</b>   | 73,577             |  |
|   | <b>3</b> Pledges and grants receivable, net . . . . .  | 598,544              | <b>3</b>   | 654,410            |  |
|   | <b>4</b> Accounts receivable, net . . . . .  | 148,968              | <b>4</b>   | 201,637            |  |
|   | <b>5</b> Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L . . . . .   | 0                    | <b>5</b>   | 0                  |  |
|   | <b>6</b> 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 instructions) . . . . . | 0                    | <b>6</b>   | 0                  |  |
|   | <b>7</b> Notes and loans receivable, net . . . . .   | 0                    | <b>7</b>   | 0                  |  |
|   | <b>8</b> Inventories for sale or use . . . . .   | 94,168               | <b>8</b>   | 100,633            |  |
|   | <b>9</b> Prepaid expenses and deferred charges . . . . .   | 245,078              | <b>9</b>   | 162,323            |  |
|   | <b>10a</b> Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D   | <b>10a</b> 2,706,931 |            |                    |  |
|   | <b>b</b> Less: accumulated depreciation . . . . .  | <b>10b</b> 2,498,201 | 509,932    | <b>10c</b> 208,730 |  |
|   | <b>11</b> Investments—publicly traded securities . . . . .   | 17,663,737           | <b>11</b>  | 15,731,278         |  |
|   | <b>12</b> Investments—other securities. See Part IV, line 11 . . . . .   | 17,073,854           | <b>12</b>  | 21,461,556         |  |
|   | <b>13</b> Investments—program-related. See Part IV, line 11 . . . . .  | 0                    | <b>13</b>  | 0                  |  |
|   | <b>14</b> Intangible assets . . . . .  | 0                    | <b>14</b>  | 0                  |  |
|   | <b>15</b> Other assets. See Part IV, line 11 . . . . .   | 0                    | <b>15</b>  | 0                  |  |
| <b>16 Total assets.</b> Add lines 1 through 15 (must equal line 34) . . . . . | 37,399,733   | <b>16</b>            | 39,194,656 |                    |  |
| <b>Liabilities</b>  | <b>17</b> Accounts payable and accrued expenses . . . . .  | 1,463,201            | <b>17</b>  | 1,778,854          |  |
|   | <b>18</b> Grants payable . . . . .   | 0                    | <b>18</b>  | 0                  |  |
|   | <b>19</b> Deferred revenue . . . . .   | 0                    | <b>19</b>  | 0                  |  |
|   | <b>20</b> Tax-exempt bond liabilities . . . . .  | 0                    | <b>20</b>  | 0                  |  |
|   | <b>21</b> Escrow or custodial account liability. Complete Part IV of Schedule D . . . . .  | 0                    | <b>21</b>  | 0                  |  |
|   | <b>22</b> Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L . . . . .   | 0                    | <b>22</b>  | 0                  |  |
|   | <b>23</b> Secured mortgages and notes payable to unrelated third parties . . . . .   | 0                    | <b>23</b>  | 0                  |  |
|   | <b>24</b> Unsecured notes and loans payable to unrelated third parties . . . . .   | 0                    | <b>24</b>  | 0                  |  |
|   | <b>25</b> Other liabilities. Complete Part X of Schedule D . . . . .   | 0                    | <b>25</b>  | 0                  |  |
|   | <b>26 Total liabilities.</b> Add lines 17 through 25 . . . . .   | 1,463,201            | <b>26</b>  | 1,778,854          |  |
| <b>Net Assets or Fund Balances</b>  | <b>Organizations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.</b>   |                      |            |                    |  |
|   | <b>27</b> Unrestricted net assets . . . . .  | 32,664,905           | <b>27</b>  | 35,883,434         |  |
|   | <b>28</b> Temporarily restricted net assets . . . . .  | 3,271,627            | <b>28</b>  | 1,532,368          |  |
|   | <b>29</b> Permanently restricted net assets . . . . .  | 0                    | <b>29</b>  | 0                  |  |
|   | <b>Organizations that do not follow SFAS 117, check here <input type="checkbox"/> 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 . . . . .  | 35,936,532           | <b>33</b>  | 37,415,802         |  |
| <b>34</b> Total liabilities and net assets/fund balances . . . . .            | 37,399,733   | <b>34</b>            | 39,194,656 |                    |  |

**Part XI Reconciliation of Net Assets**

Check if Schedule O contains a response to any question in this Part XI

|          |  |          |                   |
|----------|--|----------|-------------------|
| <b>1</b> | Total revenue (must equal Part VIII, column (A), line 12) . . . . .  | <b>1</b> | <b>5,421,305</b>  |
| <b>2</b> | Total expenses (must equal Part IX, column (A), line 25) . . . . .   | <b>2</b> | <b>7,983,345</b>  |
| <b>3</b> | Revenue less expenses. Subtract line 2 from line 1 . . . . .   | <b>3</b> | <b>-2,562,040</b> |
| <b>4</b> | Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A)) . . . . .                      | <b>4</b> | <b>35,936,532</b> |
| <b>5</b> | Other changes in net assets or fund balances (explain in Schedule O) . . . . .   | <b>5</b> | <b>4,041,310</b>  |
| <b>6</b> | Net assets or fund balances at end of year. Combine lines 3, 4, and 5 (must equal Part X, line 33, column (B)) . . . . . | <b>6</b> | <b>37,415,802</b> |

**Part XII Financial Statements and Reporting**

Check if Schedule O contains a response to any question in this Part XII

- 1** Accounting method used to prepare the Form 990:  Cash  Accrual  Other \_\_\_\_\_  
If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.
- 2a** Were the organization's financial statements compiled or reviewed by an independent accountant? . . . . .
- b** Were the organization's financial statements audited by an independent accountant? . . . . .
- c** If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?  
If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.
- d** If "Yes" to line 2a or 2b, check a box below to indicate whether the financial statements for the year were issued on a separate basis, consolidated basis, or both:  
 Separate basis  Consolidated basis  Both consolidated and separate basis
- 3a** As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133? . . . . .
- b** If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits

|           | Yes                                 | No                                  |
|-----------|-------------------------------------|-------------------------------------|
|           |                                     |                                     |
| <b>2a</b> |                                     | <input checked="" type="checkbox"/> |
| <b>2b</b> | <input checked="" type="checkbox"/> |                                     |
| <b>2c</b> | <input checked="" type="checkbox"/> |                                     |
|           |                                     |                                     |
| <b>3a</b> |                                     | <input checked="" type="checkbox"/> |
| <b>3b</b> |                                     |                                     |

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

**Public Charity Status and Public Support**

OMB No. 1545-0047

**2010**

**Open to Public Inspection**

Department of the Treasury  
Internal Revenue Service

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. ▶ See separate instructions.

|  |   |
|--|---|
| <b>Name of the organization</b><br>STATUE OF LIBERTY ELLIS ISLAND FOUNDATION INC | <b>Employer identification number</b><br>13-3118415 |
|--|---|

**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—Other
- 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 support |
|------------------------------------|----------|---|---|----|--|----|---|----|-------------------------|
|                                    |          |   | Yes   | No | Yes  | No | Yes   | No |                         |
| (A)                                |          |   |   |    |  |    |   |    |                         |
| (B)                                |          |   |   |    |  |    |   |    |                         |
| (C)                                |          |   |   |    |  |    |   |    |                         |
| (D)                                |          |   |   |    |  |    |   |    |                         |
| (E)                                |          |   |   |    |  |    |   |    |                         |
| <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) 2006  | (b) 2007  | (c) 2008  | (d) 2009  | (e) 2010  | (f) Total  |
|--|-----------|-----------|-----------|-----------|-----------|------------|
| <b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") . . . . .  | 3,407,544 | 5,094,684 | 3,465,767 | 2,636,998 | 2,800,404 | 17,405,397 |
| <b>2</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .   | 0         | 0         | 0         | 0         | 0         | 0          |
| <b>3</b> The value of services or facilities furnished by a governmental unit to the organization without charge . . . . .   | 0         | 0         | 0         | 0         | 0         | 0          |
| <b>4 Total.</b> Add lines 1 through 3 . . . . .  | 3,407,544 | 5,094,684 | 3,465,767 | 2,636,998 | 2,800,404 | 17,405,397 |
| <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) . . . . . |           |           |           |           |           | 2,548,613  |
| <b>6 Public support.</b> Subtract line 5 from line 4.  |           |           |           |           |           | 14,856,784 |

**Section B. Total Support**

| Calendar year (or fiscal year beginning in) ►  | (a) 2006  | (b) 2007  | (c) 2008  | (d) 2009  | (e) 2010  | (f) Total                |
|--|-----------|-----------|-----------|-----------|-----------|--------------------------|
| <b>7</b> Amounts from line 4 . . . . .   | 3,407,544 | 5,094,684 | 3,465,767 | 2,636,998 | 2,800,404 | 17,405,397               |
| <b>8</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . . . .  | 1,024,882 | 1,057,927 | 765,319   | 660,003   | 707,794   | 4,215,925                |
| <b>9</b> Net income from unrelated business activities, whether or not the business is regularly carried on . . . . .  | 0         | 0         | 0         | 0         | 13,425    | 13,425                   |
| <b>10</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.) . . . . .  | 0         | 0         | 0         | 279,681   | 0         | 279,681                  |
| <b>11 Total support.</b> Add lines 7 through 10  |           |           |           |           |           | 21,914,428               |
| <b>12</b> Gross receipts from related activities, etc. (see instructions) . . . . .  |           |           |           |           | 12        | 1,990,621                |
| <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 2010 (line 6, column (f) divided by line 11, column (f)) . . . . .   | <b>14</b> | 67.8 %                              |
| <b>15</b> Public support percentage from 2009 Schedule A, Part II, line 14 . . . . .   | <b>15</b> | 65.37 %                             |
| <b>16a 33 1/3% support test—2010.</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—2009.</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—2010.</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—2009.</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) 2006 | (b) 2007 | (c) 2008 | (d) 2009 | (e) 2010 | (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) 2006 | (b) 2007 | (c) 2008 | (d) 2009 | (e) 2010 | (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.) . . . .  |          |          |          |          |          |           |
| <b>14 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>15</b> Public support percentage for 2010 (line 8, column (f) divided by line 13, column (f)) . . . . | <b>15</b> | % |
| <b>16</b> Public support percentage from 2009 Schedule A, Part III, line 15 . . . .                      | <b>16</b> | % |

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

|  |           |   |
|--|-----------|---|
| <b>17</b> Investment income percentage for <b>2010</b> (line 10c, column (f) divided by line 13, column (f)) . . . . | <b>17</b> | % |
| <b>18</b> Investment income percentage from <b>2009</b> Schedule A, Part III, line 17 . . . .                        | <b>18</b> | % |

- 19a 33 1/3% support tests—2010.** 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—2009.** 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 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, 11, or 12. Attach to Form 990. See separate instructions.

OMB No. 1545-0047

2010

Open to Public Inspection

Name of the organization

Employer identification number

STATUE OF LIBERTY ELLIS ISLAND FOUNDATION INC

13-3118415

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.

Table with 2 columns: (a) Donor advised funds, (b) Funds and other accounts. Rows include: 1 Total number at end of year, 2 Aggregate contributions to (during year), 3 Aggregate grants from (during year), 4 Aggregate value at end of year, 5 Did the organization inform all donors... Yes No, 6 Did the organization inform all grantees... Yes No.

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

Table with 2 columns: Held at the End of the Tax Year. Rows include: 1 Purpose(s) of conservation easements, 2 Complete lines 2a through 2d if the organization held a qualified conservation contribution, 3 Number of conservation easements modified, 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 XIV, 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.

Table with 2 columns: \$, \$, \$, \$. Rows include: 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 XIV, 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 XIV.

**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 XIV and complete the following table:

|   | Amount |
|---|--------|
| <b>1c</b> Beginning balance             |        |
| <b>1d</b> Additions during the year     |        |
| <b>1e</b> Distributions during the year |        |
| <b>1f</b> Ending balance                |        |

**2a** Did the organization include an amount on Form 990, Part X, line 21?  **Yes**  **No**

**b** If "Yes," explain the arrangement in Part XIV.

**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 |
|---|------------------|----------------|--------------------|----------------------|---------------------|
| <b>1a</b> Beginning of year balance                     | 32,629,280       | 23,218,643     | 32,679,173         |                      |                     |
| <b>b</b> Contributions                                  | 0                | 0              | 0                  |                      |                     |
| <b>c</b> Net investment earnings, gains, and losses     | 4,945,408        | 9,882,560      | -7,830,417         |                      |                     |
| <b>d</b> Grants or scholarships                         | 0                | 0              | 0                  |                      |                     |
| <b>e</b> Other expenditures for facilities and programs | 1,087,790        | 353,816        | 1,548,447          |                      |                     |
| <b>f</b> Administrative expenses                        | 122,210          | 118,107        | 81,666             |                      |                     |
| <b>g</b> End of year balance                            | 36,364,688       | 32,629,280     | 23,218,643         |                      |                     |

**2** Provide the estimated percentage of the year end balance held as:

- a** Board designated or quasi-endowment **▶** 100 %
- b** Permanent endowment **▶** 0 %
- c** Term endowment **▶** 0 %

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

|                                    | Yes | No |
|------------------------------------|-----|----|
| <b>(i)</b> unrelated organizations |     | ✓  |
| <b>(ii)</b> related organizations  |     | ✓  |

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

|           |  |  |
|-----------|--|--|
| <b>3b</b> |  |  |
|-----------|--|--|

**4** Describe in Part XIV the intended uses of the organization's endowment funds.

**Part VI Land, Buildings, and Equipment.** See Form 990, Part X, line 10.

| Description of investment       | (a) Cost or other basis (investment) | (b) Cost or other basis (other) | (c) Accumulated depreciation | (d) Book value |
|---------------------------------|--------------------------------------|---------------------------------|------------------------------|----------------|
| <b>1a</b> Land                  | 0                                    | 0                               |                              | 0              |
| <b>b</b> Buildings              | 0                                    | 0                               | 0                            | 0              |
| <b>c</b> Leasehold improvements | 0                                    | 1,373,758                       | 1,330,778                    | 42,980         |
| <b>d</b> Equipment              | 0                                    | 1,333,173                       | 1,167,423                    | 165,750        |
| <b>e</b> Other                  | 0                                    | 0                               | 0                            | 0              |

**Total.** Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10(c).) **▶** 208,730

**Part VII Investments—Other Securities.** See Form 990, Part X, line 12.

| (a) Description of security or category<br>(including name of security)     | (b) Book value | (c) Method of valuation:<br>Cost or end-of-year market value |
|---|----------------|--|
| (1) Financial derivatives . . . . .   |                |  |
| (2) Closely-held equity interests . . . . .                                 |                |  |
| (3) Other <u>Limited Partnerships</u> -----                                 | 21,461,556     | End-of-Year Market Value                                     |
| (A)-----  |                |  |
| (B)-----  |                |  |
| (C)-----  |                |  |
| (D)-----  |                |  |
| (E)-----  |                |  |
| (F)-----  |                |  |
| (G)-----  |                |  |
| (H)-----  |                |  |
| (I)-----  |                |  |
| <b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 12.) ▶ | 21,461,556     |  |

**Part VIII Investments—Program Related.** See Form 990, Part X, line 13.

| (a) Description of investment type  | (b) Book value | (c) Method of valuation:<br>Cost or end-of-year market value |
|---|----------------|--|
| (1)   |                |  |
| (2)   |                |  |
| (3)   |                |  |
| (4)   |                |  |
| (5)   |                |  |
| (6)   |                |  |
| (7)   |                |  |
| (8)   |                |  |
| (9)   |                |  |
| (10)  |                |  |
| <b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 13.) ▶ |                |  |

**Part IX Other Assets.** See Form 990, Part X, line 15.

| (a) Description   | (b) Book value |
|---|----------------|
| (1)   |                |
| (2)   |                |
| (3)   |                |
| (4)   |                |
| (5)   |                |
| (6)   |                |
| (7)   |                |
| (8)   |                |
| (9)   |                |
| (10)  |                |
| <b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 15.) . . . . . ▶ |                |

**Part X Other Liabilities.** See Form 990, Part X, line 25.

| 1. (a) Description of liability   | (b) Amount |  |
|---|------------|--|
| (1) Federal income taxes  | 0          |  |
| (2)   |            |  |
| (3)   |            |  |
| (4)   |            |  |
| (5)   |            |  |
| (6)   |            |  |
| (7)   |            |  |
| (8)   |            |  |
| (9)   |            |  |
| (10)  |            |  |
| (11)  |            |  |
| <b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶ | 0          |  |

**2. FIN 48 (ASC 740) Footnote.** In Part XIV, 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).

**Part XI Reconciliation of Change in Net Assets from Form 990 to Audited Financial Statements**

|           |  |           |            |
|-----------|--|-----------|------------|
| <b>1</b>  | Total revenue (Form 990, Part VIII, column (A), line 12)                                 | <b>1</b>  | 5,421,305  |
| <b>2</b>  | Total expenses (Form 990, Part IX, column (A), line 25)                                  | <b>2</b>  | 7,983,345  |
| <b>3</b>  | Excess or (deficit) for the year. Subtract line 2 from line 1                            | <b>3</b>  | -2,562,040 |
| <b>4</b>  | Net unrealized gains (losses) on investments   | <b>4</b>  | 4,041,311  |
| <b>5</b>  | Donated services and use of facilities   | <b>5</b>  | 0          |
| <b>6</b>  | Investment expenses  | <b>6</b>  | 0          |
| <b>7</b>  | Prior period adjustments   | <b>7</b>  | 0          |
| <b>8</b>  | Other (Describe in Part XIV.)  | <b>8</b>  | 0          |
| <b>9</b>  | Total adjustments (net). Add lines 4 through 8   | <b>9</b>  | 4,041,311  |
| <b>10</b> | Excess or (deficit) for the year per audited financial statements. Combine lines 3 and 9 | <b>10</b> | 1,479,271  |

**Part XII Reconciliation of Revenue per Audited Financial Statements With Revenue per Return**

|          |  |           |           |
|----------|--|-----------|-----------|
| <b>1</b> | Total revenue, gains, and other support per audited financial statements                       | <b>1</b>  | 9,699,414 |
| <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> | 4,041,311 |
| <b>b</b> | Donated services and use of facilities   | <b>2b</b> | 0         |
| <b>c</b> | Recoveries of prior year grants  | <b>2c</b> | 0         |
| <b>d</b> | Other (Describe in Part XIV.)  | <b>2d</b> | 0         |
| <b>e</b> | Add lines <b>2a</b> through <b>2d</b>  | <b>2e</b> | 4,041,311 |
| <b>3</b> | Subtract line <b>2e</b> from line <b>1</b>   | <b>3</b>  | 5,658,103 |
| <b>4</b> | Amounts included on Form 990, Part VIII, line 12, but not on line <b>1</b> :                   |           |           |
| <b>a</b> | Investment expenses not included on Form 990, Part VIII, line 7b                               | <b>4a</b> | 0         |
| <b>b</b> | Other (Describe in Part XIV.)  | <b>4b</b> | -236,798  |
| <b>c</b> | Add lines <b>4a</b> and <b>4b</b>  | <b>4c</b> | -236,798  |
| <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>  | 5,421,305 |

**Part XIII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return**

|          |   |           |           |
|----------|---|-----------|-----------|
| <b>1</b> | Total expenses and losses per audited financial statements                                      | <b>1</b>  | 8,220,143 |
| <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> | 0         |
| <b>b</b> | Prior year adjustments  | <b>2b</b> | 0         |
| <b>c</b> | Other losses  | <b>2c</b> | 0         |
| <b>d</b> | Other (Describe in Part XIV.)   | <b>2d</b> | 236,798   |
| <b>e</b> | Add lines <b>2a</b> through <b>2d</b>   | <b>2e</b> | 236,798   |
| <b>3</b> | Subtract line <b>2e</b> from line <b>1</b>  | <b>3</b>  | 7,983,345 |
| <b>4</b> | Amounts included on Form 990, Part IX, line 25, but not on line <b>1</b> :                      |           |           |
| <b>a</b> | Investment expenses not included on Form 990, Part VIII, line 7b                                | <b>4a</b> | 0         |
| <b>b</b> | Other (Describe in Part XIV.)   | <b>4b</b> | 0         |
| <b>c</b> | Add lines <b>4a</b> and <b>4b</b>   | <b>4c</b> | 0         |
| <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>  | 7,983,345 |

**Part XIV Supplemental Information**

Complete this part to 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, line 8; Part XII, lines 2d and 4b; and Part XIII, lines 2d and 4b. Also complete this part to provide any additional information.

Schedule D, Part V, Line 4 - The intended use of the board designated endowment fund is to help provide for the continued upkeep and visitor enhancements and experience at the Statue of Liberty and the restored immigration facilities on Ellis Island.

Schedule D, Part X, Line 2 - The Internal Revenue Service has determined that the Foundation is exempt from income taxes under Section 501(c)(3) of the Internal Revenue Code. Management evaluated the tax positions for the Foundation and concluded that the Foundation had taken no uncertain income tax positions that require adjustments to the financial statements to comply with the provisions of this guidance. Generally, the Foundation is no longer subject to income tax examinations by U.S. federal, state or local tax authorities for years before 2007, which is the standard statute of limitations look-back period.

Schedule D, Part XII, Line 4b - Cost of goods sold related to the Foundation's mission are reported as program expenses on the audited financial statements.



**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. ▶ See separate instructions.

OMB No. 1545-0047

**2010**

**Open to Public Inspection**

Name of the organization

**STATUE OF LIBERTY ELLIS ISLAND FOUNDATION INC**

Employer identification number

**13-3118415**

**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
- 2a** Did the organization have a written or oral agreement with any individual (including officers, directors, trustees or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising services?  **Yes**  **No**
- b** If "Yes," list the 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 |                                   |   |   |
| <b>1</b> See Schedule G, Part IV, Statement 1             |               |  |    |                                   |   |   |
| <b>2</b>  |               |  |    |                                   |   |   |
| <b>3</b>  |               |  |    |                                   |   |   |
| <b>4</b>  |               |  |    |                                   |   |   |
| <b>5</b>  |               |  |    |                                   |   |   |
| <b>6</b>  |               |  |    |                                   |   |   |
| <b>7</b>  |               |  |    |                                   |   |   |
| <b>8</b>  |               |  |    |                                   |   |   |
| <b>9</b>  |               |  |    |                                   |   |   |
| <b>10</b>   |               |  |    |                                   |   |   |
| <b>Total</b>  |               |  |    | <b>190,000</b>                    | <b>48,190</b>   | <b>141,810</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.

AK, AL, AR, AZ, CA, CO, CT, FL, GA, HI, IL, KS, KY, MA, MD, ME, MI, MN, MS, NC, NH, NJ, NM, NY, OH, OR, PA, RI, SC, TN, UT, VA, WA, WI, WV

**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                |
|---|---|--------------|--------------|------------------|---------------------------------|
|   |   | (event type) | (event type) | (total number)   | (add col. (a) through col. (c)) |
| Revenue   | <b>1</b> Gross receipts . . . . .   |              |              |                  |                                 |
|   | <b>2</b> Less: Charitable contributions . . . . .                                 |              |              |                  |                                 |
|   | <b>3</b> Gross income (line 1 minus line 2) . . . . .                             |              |              |                  |                                 |
| Direct Expenses   | <b>4</b> Cash prizes . . . . .  |              |              |                  |                                 |
|   | <b>5</b> Noncash prizes . . . . .   |              |              |                  |                                 |
|   | <b>6</b> Rent/facility costs . . . . .  |              |              |                  |                                 |
|   | <b>7</b> Food and beverages . . . . .   |              |              |                  |                                 |
|   | <b>8</b> Entertainment . . . . .  |              |              |                  |                                 |
|   | <b>9</b> Other direct expenses . . . . .  |              |              |                  |                                 |
|   | <b>10</b> Direct expense summary. Add lines 4 through 9 in column (d) . . . . . ▶ |              |              |                  | ( )                             |
| <b>11</b> Net income summary. Combine line 3, column (d), and line 10 . . . . . ▶ |   |              |              |                  |                                 |

**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 _____ %<br><input type="checkbox"/> No | <input type="checkbox"/> Yes _____ %<br><input type="checkbox"/> No | <input type="checkbox"/> Yes _____ %<br><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. Combine line 1, column d, and line 7 . . . . . ▶ |   |   |   |  |

**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: \_\_\_\_\_

\_\_\_\_\_



**Fundraiser Activity Information**

| Name and Address   | Activity  | C1 | Gross Receipts | C2            | C3             |
|--|---|----|----------------|---------------|----------------|
| Nicholas & Lence Communications<br>28 West 44th Street<br>Suite 1217<br>New York, NY 10036 | Nicholas & Lence Communications<br>provided fundraising and strategy consulting<br>services specifically within the State of New<br>York. | No | 190,000        | 48,190        | 141,810        |
| <b>Total:</b>  |   |    | <b>190,000</b> | <b>48,190</b> | <b>141,810</b> |

C1 = Fundraiser control of funds?

C2 = Amount paid to (or retained by) fundraiser

C3 = Amount paid to (or retained by) organization

**SCHEDULE J  
(Form 990)**

Department of the Treasury  
Internal Revenue Service  
Name of the organization

**Compensation Information**  
For certain Officers, Directors, Trustees, Key Employees, and Highest  
Compensated Employees  
▶ Complete if the organization answered "Yes" to Form 990,  
Part IV, line 23.  
▶ Attach to Form 990. ▶ See separate instructions.

OMB No. 1545-0047

**2010**

**Open to Public  
Inspection**

**STATUE OF LIBERTY ELLIS ISLAND FOUNDATION INC**

Employer identification number

**13-3118415**

**Part I Questions Regarding Compensation**

|  | Yes       | No |
|--|-----------|----|
| <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.<br><input type="checkbox"/> First-class or charter travel<br><input type="checkbox"/> Travel for companions<br><input type="checkbox"/> Tax indemnification and gross-up payments<br><input type="checkbox"/> Discretionary spending account<br><input type="checkbox"/> Housing allowance or residence for personal use<br><input type="checkbox"/> Payments for business use of personal residence<br><input type="checkbox"/> Health or social club dues or initiation fees<br><input type="checkbox"/> Personal services (e.g., maid, chauffeur, chef) |           |    |
| <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 . . . . .  | <b>1b</b> |    |
| <b>2</b> Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all officers, directors, trustees, and the CEO/Executive Director, regarding the items checked in line 1a? . . . . .  | <b>2</b>  |    |
| <b>3</b> Indicate which, if any, of the following the organization uses to establish the compensation of the organization's CEO/Executive Director. Check all that apply.<br><input checked="" type="checkbox"/> Compensation committee<br><input checked="" type="checkbox"/> Independent compensation consultant<br><input checked="" type="checkbox"/> Form 990 of other organizations<br><input type="checkbox"/> Written employment contract<br><input checked="" type="checkbox"/> Compensation survey or study<br><input checked="" type="checkbox"/> Approval by the board or compensation committee   |           |    |
| <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:  |           |    |
| <b>a</b> Receive a severance payment or change-of-control payment from the organization or a related organization?   | <b>4a</b> | ✓  |
| <b>b</b> Participate in, or receive payment from, a supplemental nonqualified retirement plan? . . . . .   | <b>4b</b> | ✓  |
| <b>c</b> Participate in, or receive payment from, an equity-based compensation arrangement? . . . . .  | <b>4c</b> | ✓  |
| If "Yes" to any of lines 4a–c, list the persons and provide the applicable amounts for each item in Part III.  |           |    |
| <b>Only section 501(c)(3) and 501(c)(4) organizations must complete lines 5–9.</b>   |           |    |
| <b>5</b> For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:  |           |    |
| <b>a</b> The organization? . . . . .   | <b>5a</b> | ✓  |
| <b>b</b> Any related organization? . . . . .   | <b>5b</b> | ✓  |
| If "Yes" to line 5a or 5b, describe in Part III.   |           |    |
| <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:  |           |    |
| <b>a</b> The organization? . . . . .   | <b>6a</b> | ✓  |
| <b>b</b> Any related organization? . . . . .   | <b>6b</b> | ✓  |
| If "Yes" to line 6a or 6b, describe in Part III.   |           |    |
| <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 . . . . .  | <b>7</b>  | ✓  |
| <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 . . . . .   | <b>8</b>  | ✓  |
| <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)? . . . . .  | <b>9</b>  |    |

**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) must equal the applicable column (D) or column (E) amounts on Form 990, Part VII, line 1a.

| (A) Name |      | (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 in prior Form 990 or Form 990-EZ |
|----------|------|--|-------------------------------------|-------------------------------------|--|-------------------------|---------------------------------|--|
|          |      | (i) Base compensation                              | (ii) Bonus & incentive compensation | (iii) Other reportable compensation |  |                         |                                 |  |
| 1        | (i)  | 297,016  | 0                                   | 0                                   | 39,790   | 11,273                  | 348,079                         | 0  |
|          | (ii) | 0  | 0                                   | 0                                   | 0  | 0                       | 0                               | 0  |
| 2        | (i)  | 213,161  | 0                                   | 363                                 | 253,555  | 7,626                   | 474,705                         | 0  |
|          | (ii) | 0  | 0                                   | 0                                   | 0  | 0                       | 0                               | 0  |
| 3        | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |
| 4        | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |
| 5        | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |
| 6        | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |
| 7        | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |
| 8        | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |
| 9        | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |
| 10       | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |
| 11       | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |
| 12       | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |
| 13       | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |
| 14       | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |
| 15       | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |
| 16       | (i)  |  |                                     |                                     |  |                         |                                 |  |
|          | (ii) |  |                                     |                                     |  |                         |                                 |  |



**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.

OMB No. 1545-0047

**2010**

**Open to Public  
Inspection**

Name of the organization

STATUE OF LIBERTY ELLIS ISLAND FOUNDATION INC

Employer identification number

13-3118415

Form 990, Part VI, Section B, Line 11a - The Form 990 and accompanying schedules are prepared by Foundation management after which they are reviewed by the Foundation's accounting firm and audit committee of the board of directors. Upon completion of the review process the Form 990 is posted on the Foundation's website and distributed to the full board of directors.

Form 990, Part VI, Section B, Line 12c - Once a year the Foundation requests from officers, senior management and directors, information regarding any potential conflicts of interest and whether or not they are in compliance with the conflict of interest policy. Senior management and officers are reminded several times a year about this policy statement.

Form 990, Part VI, Section B, Line 15 - The compensation of the chief executive officer, the president of the Foundation was reviewed and decided upon in the following manner in 2008: 1) independent compensation consultant was retained; 2) a survey was completed; 3) a written employment contract was executed, expiring in April 2010, all with the approval of the compensation committee and the board of directors. Minutes of such meetings were prepared. There were no conflicts noted by the Directors making this decision. Effective April 1, 2010 the compensation committee approved a contract renewal with the president of the Foundation with an increase of 2.5%. For all vice presidents, in the prior years, the following review took place: 1) material gathered from guidestar.org from IRS 990's by MSA, NTEE Major Group and Budget size; 2) material from Professionals for NonProfits 2008 Salary Review as well as salary review from the Non-Profit Coordinating Committee of New York. For the past years increase were approved up to a maximum of 2.5%. The president as well as the compensation committee of the board of directors would review any salary increase or change.

Form 990, Part VI, Section C, Line 19 - Governance material is available on our web site [www.ellisland.org](http://www.ellisland.org). Under About the Foundation>Governance is located a list of the board of directors, articles of incorporation, by-laws, IRS determination letter, charters of various committees, policy statements, annual report as well as IRS 990 for the current and prior year. The Foundation website also includes a statement noting that prior Forms 990 may be obtained at [www.guidestar.org](http://www.guidestar.org).

Form 990, Part XI, Line 5 - Unrealized gains on investments

**Activity Or Mission Description**

---

**Description**

---

information on the 25 million people who entered through the Port of New York between 1892-1924. The Center has served over one million visitors and the website has received over 12 billion hits. In 2007, the Foundation initiated a campaign for The Peopling of America® Center which will expand upon the story currently told of the Ellis Island Years by including the story of those who arrived before Ellis Island and those who are coming since 1954. It will thematically and programmatically expand the Ellis Island Immigration Museum by educating visitors (physically at Ellis Island, and through the Internet) on immigration and citizenship that make up the American experience.

**Mission Description**

---

**Description**

---

promote and stimulate public knowledge of and interest in the history of the Statue of Liberty and Ellis Island. The National Park Service (NPS), a unit of the United States Department of the Interior, operates both the Statue of Liberty and Ellis Island (the "Monument") and has accepted grants pursuant to an agreement dated October 14, 1983 and subsequent agreements with the Foundation for the restoration and preservation of the Monument.

## Other Program Services Accomplishments

| Activity Code | Description  | Expense        | Grants   | Revenue        |
|---------------|--|----------------|----------|----------------|
|               | Public Awareness and Education: Includes projects such as publications on immigration and migration and how to research immigrants to the United States. "Ellis Island Family Heritage Awards", an annual event whereby a select number of Ellis Island immigrants or their descendants are chose to be honored. By presenting a copy of the original ship's passenger manifest documenting their, or their ancestors' arrival at Ellis Island, we reflect on their journey, their courage and determination, and honor the unique contribution they have made to this "Nation of Immigrants". Peopling of America (R) Award was instituted in 2004 to celebrate the life and work of individuals who immigrated to America at another time and/or through a different entry point than the Port of New York and Ellis Island. | 569,859        | 0        | 0              |
|               | Under an agreement with the National Park Service authorizing the Foundation is authorized to operate a self-guided audio tour program for the Statue of Liberty and Ellis Island produced by award-winning Discovery Audio and available in nine languages. Revenues generated by the sale of tours is dedicated to The Peopling of America® Center and other related projects.   | 114,688        | 0        | 762,729        |
| <b>Total:</b> |  | <b>684,547</b> | <b>0</b> | <b>762,729</b> |

States Where Copy Of Return Is Filed

States

AK

AR

AZ

CA

CT

FL

GA

HI

IL

KS

KY

MA

MD

ME

MI

MN

MS

NC

NH

NJ

NM

NY

OH

OR

PA

RI

SC

TN

UT

VA

WA

WI

WV