

Form **990-PF**

**Return of Private Foundation**

OMB No. 1545-0047

Department of the Treasury  
Internal Revenue Service

or Section 4947(a)(1) Trust Treated as Private Foundation  
▶ Do not enter social security numbers on this form as it may be made public.  
▶ Go to [www.irs.gov/Form990PF](http://www.irs.gov/Form990PF) for instructions and the latest information.

**2020**

**Open to Public Inspection**

For calendar year **2020** or tax year beginning , **2020**, and ending , **20**

Name of foundation <b>FOUNDATION FOR A SMOKE-FREE WORLD, INC.</b>		<b>A Employer identification number</b> 82-2800838											
Number and street (or P.O. box number if mail is not delivered to street address)	Room/suite	<b>B Telephone number (see instructions)</b>  (929) 446-0688											
City or town, state or province, country, and ZIP or foreign postal code  NEW YORK, NY 10017		<b>C</b> If exemption application is pending, check here. . . . . <input type="checkbox"/> <b>D</b> 1. Foreign organizations, check here. . . . . <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation . . . . . <input type="checkbox"/> <b>E</b> If private foundation status was terminated under section 507(b)(1)(A), check here. . . . . <input type="checkbox"/> <b>F</b> If the foundation is in a 60-month termination under section 507(b)(1)(B), check here. . . . . <input type="checkbox"/>											
<b>G</b> Check all that apply: <table border="1"> <tr> <td><input type="checkbox"/></td> <td>Initial return</td> <td><input type="checkbox"/></td> <td>Initial return of a former public charity</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Final return</td> <td><input type="checkbox"/></td> <td>Amended return</td> </tr> <tr> <td><input checked="" type="checkbox"/></td> <td>Address change</td> <td><input type="checkbox"/></td> <td>Name change</td> </tr> </table>			<input type="checkbox"/>	Initial return	<input type="checkbox"/>	Initial return of a former public charity	<input type="checkbox"/>	Final return	<input type="checkbox"/>	Amended return	<input checked="" type="checkbox"/>	Address change	<input type="checkbox"/>
<input type="checkbox"/>	Initial return	<input type="checkbox"/>	Initial return of a former public charity										
<input type="checkbox"/>	Final return	<input type="checkbox"/>	Amended return										
<input checked="" type="checkbox"/>	Address change	<input type="checkbox"/>	Name change										
<b>H</b> Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation													
<b>I</b> Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 60,035,108.													
<b>J</b> Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d), must be on cash basis.)													

<b>Part I Analysis of Revenue and Expenses</b> (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
<b>Revenue</b>	1 Contributions, gifts, grants, etc., received (attach schedule) . . . . .	45,000,000.			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B. . . . .				
	3 Interest on savings and temporary cash investments . . . . .	74,852.	74,852.		
	4 Dividends and interest from securities . . . . .				
	5a Gross rents . . . . .				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10				
	b Gross sales price for all assets on line 6a _____				
	7 Capital gain net income (from Part IV, line 2) . . . . .				
	8 Net short-term capital gain. . . . .				
	9 Income modifications . . . . .				
	10a Gross sales less returns and allowances . . . . .				
b Less: Cost of goods sold . . . . .					
c Gross profit or (loss) (attach schedule) . . . . .					
11 Other income (attach schedule) <u>ATCH 1</u> . . . . .	183,362.				
12 <b>Total.</b> Add lines 1 through 11 . . . . .	45,258,214.	74,852.			
<b>Operating and Administrative Expenses</b>	13 Compensation of officers, directors, trustees, etc. . . . .	2,097,811.			2,136,653.
	14 Other employee salaries and wages . . . . .	7,422,970.			7,543,839.
	15 Pension plans, employee benefits . . . . .	777,648.			784,235.
	16a Legal fees (attach schedule) <u>ATCH 2</u> . . . . .	444,549.			444,803.
	b Accounting fees (attach schedule) <u>ATCH 3</u> . . . . .	286,677.			311,771.
	c Other professional fees (attach schedule) <u>[4]</u> . . . . .	6,314,007.			6,900,764.
	17 Interest . . . . .				
	18 Taxes (attach schedule) (see instructions) <u>[5]</u> . . . . .	47,495.			
	19 Depreciation (attach schedule) and depletion . . . . .	737,351.			
	20 Occupancy . . . . .	753,052.			751,774.
	21 Travel, conferences, and meetings . . . . .	256,660.			300,161.
	22 Printing and publications . . . . .				
	23 Other expenses (attach schedule) <u>ATCH 6</u> . . . . .	1,637,269.			1,619,182.
	24 <b>Total operating and administrative expenses.</b> Add lines 13 through 23. . . . .	20,775,489.			20,793,182.
	25 Contributions, gifts, grants paid . . . . .	25,518,361.			25,471,889.
26 <b>Total expenses and disbursements.</b> Add lines 24 and 25 . . . . .	46,293,850.	0.	0.	46,265,071.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements . . . . .	-1,035,636.				
b <b>Net investment income</b> (if negative, enter -0-) . . . . .		74,852.			
c <b>Adjusted net income</b> (if negative, enter -0-) . . . . .					

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing . . . . .			
	2	Savings and temporary cash investments . . . . .	59,305,485.	57,321,779.	57,321,779.
	3	Accounts receivable ▶ <u>473.</u>			
		Less: allowance for doubtful accounts ▶ _____	36,629.	473.	473.
	4	Pledges receivable ▶ _____			
		Less: allowance for doubtful accounts ▶ _____			
	5	Grants receivable. . . . .			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . .			
	7	Other notes and loans receivable (attach schedule) ▶ _____			
		Less: allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use. . . . .			
	9	Prepaid expenses and deferred charges . . . . . <u>ATCH 7</u>	412,700.	830,428.	830,428.
	10a	Investments - U.S. and state government obligations (attach schedule). . . . .			
	b	Investments - corporate stock (attach schedule) . . . . .			
	c	Investments - corporate bonds (attach schedule). . . . .			
	11	Investments - land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation ▶ _____ (attach schedule)			
12	Investments - mortgage loans . . . . .				
13	Investments - other (attach schedule) . . . . .				
14	Land, buildings, and equipment: basis ▶ <u>2,801,322.</u> Less: accumulated depreciation ▶ <u>981,338.</u> (attach schedule)	2,101,244.	1,819,984.	1,819,984.	
15	Other assets (describe ▶ <u>ATCH 8</u> )	157,313.	62,444.	62,444.	
16	<b>Total assets</b> (to be completed by all filers - see the instructions. Also, see page 1, item I) . . . . .	62,013,371.	60,035,108.	60,035,108.	
Liabilities	17	Accounts payable and accrued expenses . . . . .	1,634,452.	738,555.	
	18	Grants payable. . . . .	46,730.		
	19	Deferred revenue. . . . .			
	20	Loans from officers, directors, trustees, and other disqualified persons. . . . .			
	21	Mortgages and other notes payable (attach schedule) . . . . .			
	22	Other liabilities (describe ▶ _____)			
	23	<b>Total liabilities</b> (add lines 17 through 22) . . . . .	1,681,182.	738,555.	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here ▶ <input type="checkbox"/> and complete lines 24, 25, 29, and 30.				
	24	Net assets without donor restrictions . . . . .			
	25	Net assets with donor restrictions . . . . .			
	Foundations that do not follow FASB ASC 958, check here ▶ <input checked="" type="checkbox"/> and complete lines 26 through 30.				
	26	Capital stock, trust principal, or current funds . . . . .			
	27	Paid-in or capital surplus, or land, bldg., and equipment fund. . . . .			
	28	Retained earnings, accumulated income, endowment, or other funds . . . . .	60,332,189.	59,296,553.	
29	<b>Total net assets or fund balances</b> (see instructions). . . . .	60,332,189.	59,296,553.		
30	<b>Total liabilities and net assets/fund balances</b> (see instructions) . . . . .	62,013,371.	60,035,108.		

**Part III Analysis of Changes in Net Assets or Fund Balances**

1	Total net assets or fund balances at beginning of year - Part II, column (a), line 29 (must agree with end-of-year figure reported on prior year's return). . . . .	1	60,332,189.
2	Enter amount from Part I, line 27a. . . . .	2	-1,035,636.
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3 . . . . .	4	59,296,553.
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 29 . . . . .	6	59,296,553.

**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold (for example, real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)				(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
<b>1 a</b>						
<b>b</b>						
<b>c</b>						
<b>d</b>						
<b>e</b>						
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))			
<b>a</b>						
<b>b</b>						
<b>c</b>						
<b>d</b>						
<b>e</b>						
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69.						
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))			
<b>a</b>						
<b>b</b>						
<b>c</b>						
<b>d</b>						
<b>e</b>						
<b>2</b> Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }		<b>2</b>			
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). See instructions. If (loss), enter -0- in Part I, line 8	{ If gain, also enter in Part I, line 8, column (c). See instructions. If (loss), enter -0- in Part I, line 8 }		<b>3</b>			

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

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

<b>1</b> Reserved			
(a) Reserved	(b) Reserved	(c) Reserved	(d) Reserved
Reserved			
Reserved			
Reserved			
Reserved			
Reserved			
<b>2</b> Reserved			<b>2</b>
<b>3</b> Reserved			<b>3</b>
<b>4</b> Reserved			<b>4</b>
<b>5</b> Reserved			<b>5</b>
<b>6</b> Reserved			<b>6</b>
<b>7</b> Reserved			<b>7</b>
<b>8</b> Reserved			<b>8</b>

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), or 4948 - see instructions)

Table with 11 rows for excise tax calculation. Includes fields for exempt foundations, tax under section 511, total credits, and tax due. Total tax due is 23,960.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Includes questions about political campaigns, expenditures, and reporting requirements. Includes 'Yes' and 'No' columns.

Part VII-A Statements Regarding Activities (continued)

Table with 3 columns: Question, Yes, No. Rows 11-16 containing questions about controlled entities, distributions, public inspection requirements, and foreign country interests.

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

Table with 3 columns: Question, Yes, No. Rows 1a-4b containing questions about disqualifying acts, taxes on failure to distribute income, and business enterprise interests.

**Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**

<b>5a</b>	During the year, did the foundation pay or incur any amount to:		<b>Yes</b>	<b>No</b>
(1)	Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
(2)	Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
(3)	Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
(4)	Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions	<input checked="" type="checkbox"/>	Yes	<input type="checkbox"/> No
(5)	Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
<b>b</b>	If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions.		<b>5b</b>	X
	Organizations relying on a current notice regarding disaster assistance, check here	<input type="checkbox"/>		
<b>c</b>	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?	<input checked="" type="checkbox"/>	Yes	<input type="checkbox"/> No
	If "Yes," attach the statement required by Regulations section 53.4945-5(d). ATCH 10			
<b>6a</b>	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
<b>b</b>	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? If "Yes" to 6b, file Form 8870.		<b>6b</b>	X
<b>7a</b>	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
<b>b</b>	If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?		<b>7b</b>	
<b>8</b>	Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year?	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (if not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATCH 11		2,097,811.	146,467.	0.

**2 Compensation of five highest-paid employees (other than those included on line 1 - see instructions). If none, enter "NONE."**

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATCH 12		1,559,575.	79,734.	0.

**Total number of other employees paid over \$50,000.** 39

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

**3 Five highest-paid independent contractors for professional services. See instructions. If none, enter "NONE."**

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
ATCH 13		5,009,118.

**Total** number of others receiving over \$50,000 for professional services . . . . . **24**

**Part IX-A Summary of Direct Charitable Activities**

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

	Expenses
1 SEE ATTACHMENT 19	2,035,000.
2 SEE ATTACHMENT 19	724,348.
3 SEE ATTACHMENT 19	644,056.
4	

**Part IX-B Summary of Program-Related Investments** (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

	Amount
1 NONE	
2	
All other program-related investments. See instructions. 3 NONE	
<b>Total.</b> Add lines 1 through 3 . . . . .	

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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
<b>a</b>	Average monthly fair market value of securities . . . . .	<b>1a</b>	
<b>b</b>	Average of monthly cash balances . . . . .	<b>1b</b>	43,648,880.
<b>c</b>	Fair market value of all other assets (see instructions). . . . .	<b>1c</b>	
<b>d</b>	<b>Total</b> (add lines 1a, b, and c) . . . . .	<b>1d</b>	43,648,880.
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) . . . . .	<b>1e</b>	
<b>2</b>	Acquisition indebtedness applicable to line 1 assets . . . . .	<b>2</b>	
<b>3</b>	Subtract line 2 from line 1d. . . . .	<b>3</b>	43,648,880.
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	<b>4</b>	654,733.
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	42,994,147.
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5 . . . . .	<b>6</b>	2,149,707.

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

<b>1</b>	Minimum investment return from Part X, line 6 . . . . .	<b>1</b>	2,149,707.
<b>2a</b>	Tax on investment income for 2020 from Part VI, line 5 . . . . .	<b>2a</b>	1,040.
<b>b</b>	Income tax for 2020. (This does not include the tax from Part VI.) . . . . .	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b. . . . .	<b>2c</b>	1,040.
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1. . . . .	<b>3</b>	2,148,667.
<b>4</b>	Recoveries of amounts treated as qualifying distributions. . . . .	<b>4</b>	183,362.
<b>5</b>	Add lines 3 and 4 . . . . .	<b>5</b>	2,332,029.
<b>6</b>	Deduction from distributable amount (see instructions). . . . .	<b>6</b>	
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1. . . . .	<b>7</b>	2,332,029.

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
<b>a</b>	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26. . . . .	<b>1a</b>	46,265,071.
<b>b</b>	Program-related investments - total from Part IX-B. . . . .	<b>1b</b>	
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes. . . . .	<b>2</b>	440,000.
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the:		
<b>a</b>	Suitability test (prior IRS approval required) . . . . .	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule) . . . . .	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8; and Part XIII, line 4	<b>4</b>	46,705,071.
<b>5</b>	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions. . . . .	<b>5</b>	0.
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4 . . . . .	<b>6</b>	46,705,071.

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



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

	(a) Corpus	(b) Years prior to 2019	(c) 2019	(d) 2020
<b>1</b> Distributable amount for 2020 from Part XI, line 7 . . . . .				2,332,029.
<b>2</b> Undistributed income, if any, as of the end of 2020:				
<b>a</b> Enter amount for 2019 only. . . . .				
<b>b</b> Total for prior years: 20 <u>18</u> , 20 <u>17</u> , 20 <u>16</u>				
<b>3</b> Excess distributions carryover, if any, to 2020:				
<b>a</b> From 2015 . . . . .				
<b>b</b> From 2016 . . . . .				
<b>c</b> From 2017 . . . . .		3,185,969.		
<b>d</b> From 2018 . . . . .		27,464,139.		
<b>e</b> From 2019 . . . . .		67,812,508.		
<b>f</b> <b>Total</b> of lines 3a through e . . . . .	98,462,616.			
<b>4</b> Qualifying distributions for 2020 from Part XII, line 4: ▶ \$ <u>46,705,071.</u>				
<b>a</b> Applied to 2019, but not more than line 2a . . .				
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions). . . . .				
<b>c</b> Treated as distributions out of corpus (Election required - see instructions) . . . . .				
<b>d</b> Applied to 2020 distributable amount. . . . .				2,332,029.
<b>e</b> Remaining amount distributed out of corpus. . .	44,373,042.			
<b>5</b> Excess distributions carryover applied to 2020 (If an amount appears in column (d), the same amount must be shown in column (a).) . . . . .				
<b>6</b> <b>Enter the net total of each column as indicated below:</b>				
<b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	142,835,658.			
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b. . . . .				
<b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed . . . . .				
<b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions . . . . .				
<b>e</b> Undistributed income for 2019. Subtract line 4a from line 2a. Taxable amount - see instructions . . . . .				
<b>f</b> Undistributed income for 2020. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2021. . . . .				
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions) . . . . .				
<b>8</b> Excess distributions carryover from 2015 not applied on line 5 or line 7 (see instructions) . . .				
<b>9</b> <b>Excess distributions carryover to 2021.</b> Subtract lines 7 and 8 from line 6a . . . . .	142,835,658.			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2016 . . . . .				
<b>b</b> Excess from 2017 . . . . .		3,185,969.		
<b>c</b> Excess from 2018 . . . . .		27,464,139.		
<b>d</b> Excess from 2019 . . . . .		67,812,508.		
<b>e</b> Excess from 2020 . . . . .		44,373,042.		

**Part XIV Private Operating Foundations** (see instructions and Part VII-A, question 9)

NOT APPLICABLE

**1 a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2020, enter the date of the ruling . . . . . ▶

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

	Tax year		Prior 3 years		(e) Total
	(a) 2020	(b) 2019	(c) 2018	(d) 2017	
<b>2 a</b> Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed . . . . .					
<b>b</b> 85% of line 2a . . . . .					
<b>c</b> Qualifying distributions from Part XII, line 4, for each year listed . . . . .					
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities . . . . .					
<b>e</b> Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c . . . . .					
<b>3</b> Complete 3a, b, or c for the alternative test relied upon: . . . . .					
<b>a</b> "Assets" alternative test - enter:					
<b>(1)</b> Value of all assets . . . . .					
<b>(2)</b> Value of assets qualifying under section 4942(j)(3)(B)(i) . . . . .					
<b>b</b> "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6, for each year listed . . . . .					
<b>c</b> "Support" alternative test - enter:					
<b>(1)</b> Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) . . . . .					
<b>(2)</b> Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii) . . . . .					
<b>(3)</b> Largest amount of support from an exempt organization . . . . .					
<b>(4)</b> Gross investment income . . . . .					

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

**1 Information Regarding Foundation Managers:**

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

N/A

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

N/A

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

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

**a** The name, address, and telephone number or email address of the person to whom applications should be addressed:

ATCH 14

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

**c** Any submission deadlines:

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

**Part XV** Supplementary Information *(continued)*

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<p><b>a</b> <i>Paid during the year</i>                      SEE ATTACHMENT 16                      SEE ATTACHMENT 16                       SEE ATTACHMENT 16, NY 00000</p>			SEE ATTACHMENT 16	25,471,889.
<p><b>Total</b> . . . . . ▶ <b>3a</b></p>				25,471,889.
<p><b>b</b> <i>Approved for future payment</i>                      SEE ATTACHMENT 17                      SEE ATTACHMENT 17                      SEE ATTACHMENT 17, NY 00000</p>			SEE ATTACHMENT 17	48,375,308.
<p><b>Total</b> . . . . . ▶ <b>3b</b></p>				48,375,308.





# Schedule of Contributors

**2020**

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.  
▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.

Name of the organization FOUNDATION FOR A SMOKE-FREE WORLD, INC.	Employer identification number 82-2800838
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**Organization type** (check one):

**Filers of:**

**Section:**

- Form 990 or 990-EZ  501(c)( ) (enter number) organization
- 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
- 527 political organization
- Form 990-PF  501(c)(3) exempt private foundation
- 4947(a)(1) nonexempt charitable trust treated as a private foundation
- 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

**Note:** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

**General Rule**

- For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

**Special Rules**

- For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** \$5,000; or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h; or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I (entering "N/A" in column (b) instead of the contributor name and address), II, and III.
- For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year . . . . . ▶ \$ \_\_\_\_\_

**Caution:** An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization **FOUNDATION FOR A SMOKE-FREE WORLD, INC.**

**Employer identification number**  
82-2800838

**Part I** **Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	PMI GLOBAL SERVICES, INC  120 PARK AVENUE  NEW YORK, NY 10017	\$ 45,000,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)

Name of organization **FOUNDATION FOR A SMOKE-FREE WORLD, INC.**

**Employer identification number**

82-2800838

**Part II** **Noncash Property** (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____



Name of organization FOUNDATION FOR A SMOKE-FREE WORLD, INC.

Employer identification number  
82-2800838

**Part III Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor.** Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of **\$1,000 or less** for the year. (Enter this information once. See instructions.) ► \$ \_\_\_\_\_  
Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
_____	_____	_____	_____

(e) Transfer of gift	
Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee
_____	_____
_____	_____
_____	_____

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
_____	_____	_____	_____

(e) Transfer of gift	
Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee
_____	_____
_____	_____
_____	_____

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
_____	_____	_____	_____

(e) Transfer of gift	
Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee
_____	_____
_____	_____
_____	_____

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
_____	_____	_____	_____

(e) Transfer of gift	
Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee
_____	_____
_____	_____
_____	_____

ATTACHMENT 1

FORM 990PF, PART I - OTHER INCOME

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>
RETURN OF PRIOR YEAR DISTRIBUTIONS	<u>183,362.</u>
TOTALS	<u>183,362.</u>

ATTACHMENT 2

FORM 990PF, PART I - LEGAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
LEGAL FEES	444,549.			444,803.
TOTALS	<u>444,549.</u>			<u>444,803.</u>

ATTACHMENT 3

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
ACCOUNTING FEES	286,677.			311,771.
TOTALS	<u>286,677.</u>			<u>311,771.</u>

ATTACHMENT 4FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>CHARITABLE PURPOSES</u>
PROFESSIONAL SERVICES	2,133,542.	2,648,528.
COMMUNICATIONS	2,855,353.	3,022,767.
CONSULTING FEES	1,325,112.	1,229,469.
TOTALS	<u>6,314,007.</u>	<u>6,900,764.</u>

ATTACHMENT 5FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>
FED EXCISE TAX PAYMENT	23,394.
FOREIGN TAXES PAID	23,688.
2020 FEDERAL TAX WITHHOLDING	413.
TOTALS	<u>47,495.</u>

ATTACHMENT 6FORM 990PF, PART I - OTHER EXPENSES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>CHARITABLE PURPOSES</u>
DATA LICENSE FEES	997,156.	997,156.
NEWS & SUBSCRIPTIONS	346,349.	333,816.
INSURANCE	142,226.	142,226.
COMPUTER & EQUIPMENT	57,028.	54,396.
MEMBERSHIP DUES	38,219.	38,218.
GENERAL OFFICE EXPENSES	27,114.	25,023.
OFFICE SUPPLIES	18,662.	17,832.
BANK FEES	9,015.	9,015.
NY STATE FILING FEE	1,500.	1,500.
TOTALS	<u>1,637,269.</u>	<u>1,619,182.</u>

ATTACHMENT 7

FORM 990PF, PART II - PREPAID EXPENSES AND DEFERRED CHARGES

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
PREPAID EXPENSES	830,428.	830,428.
TOTALS	<u>830,428.</u>	<u>830,428.</u>



ATTACHMENT 8

FORM 990PF, PART II - OTHER ASSETS

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
SECURITY DEPOSITS	62,444.	62,444.
TOTALS	<u>62,444.</u>	<u>62,444.</u>

ATTACHMENT 9FORM 990PF, PART VII-A, LINE 11A-TRANSFERS TO CONTROLLED ENTITY STATEMENT

TOTAL AMOUNT

693,228.

CONTROLLED ENTITY'S NAME: AGRICULTURE TRANSFORMATION INITIATIVE

CONTROLLED ENTITY'S ADDRESS: P.O. BOX 31009, CAPITAL CITY

CITY, STATE &amp; ZIP: LILONGWE MALAWI

EIN: 99-9999999

TRANSFER AMOUNT: 693,228.

EXPLANATION OF TRANSFER TO CONTROLLED ENTITY:

CASH CONTRIBUTION. THIS ENTITY IS NOT AN EXCESS BUSINESS HOLDING.

	GRANTEE'S NAME	GRANTEE'S ADDRESS	GRANT DATE	GRANT AMOUNT	PURPOSE	AMOUNT EXPENDED BY GRANTEE	ANY DIVERSION	DATES OF REPORTS	DATE OF VERIFICATION	RESULTS OF VERIFICATION
1	A. C. NIELSEN AMER (SHJ. BR.)	Level 3, Al Reem Plaza Tower, P.O.Box: 22525 Buheira Corniche, Sharjah 22525 United Arab Emirates	8/5/2019	1,543,040	Survey on usage patterns and perceptions regarding tobacco products and ANDSS among adults across 7 countries	1,543,040	NO	02/17/2020	02/18/2020	Total Expenditure of \$1,543,040 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
2	ACK Consultants	Burfield House 121-123 Athelstan Road Faversham ME13 8QW	9/16/2020	63,800	Conduct a Virtual Global Conference on "15 Years of FCTC"	63,800	NO	1/8/2021	1/13/2021	Total Expenditure of \$63,800 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
3	Agenome LLC	Avesthagen Limited Yolee Grande, 14, 2nd Floor, Pottery Road, Richards Town Frazer Town Bangalore- 560005 India	2/12/2019	2,097,189	Assess cancer risk of smokers through DNA and RNA research and creation of genome database with an aim to encourage smokers to quit or transition to reduced risk products	1,926,974	NO	02/28/2020 06/05/2020 09/08/2020 12/18/2020	03/27/2020 06/23/2020 11/18/2020 12/23/2020	Total Expenditure of \$1,926,974 as per report which is 92% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

	GRANTEE'S NAME	GRANTEE'S ADDRESS	GRANT DATE	GRANT AMOUNT	PURPOSE	AMOUNT EXPENDEDEBY GRANTEE	ANY DIVERSION	DATES OF REPORTS	DATE OF VERIFICATION	RESULTS OF VERIFICATION
4	Alternative Research Initiative	Office # 31, 1st Floor Al-Anayat Mall Islamabad Pakistan	12/12/2018	164,560	Study on barriers to smoking cessation and reduced risk products in marginalized communities in Pakistan	163,377	NO	01/15/2020	01/16/2020	Total Expenditure of \$163,377 as per report which is 99% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
5	Alternative Research Initiative	Office # 31, 1st Floor Al-Anayat Mall Islamabad Pakistan	2/13/2020	176,400	Garner consensus and support for COP9 to consider harm reduction as integral to tobacco control	81,202	NO	06/26/2020 09/30/2020	06/30/2020 10/03/2020	Total Expenditure of \$81,202 as per report which is 46% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

	GRANTEE'S NAME	GRANTEE'S ADDRESS	GRANT DATE	GRANT AMOUNT	PURPOSE	AMOUNT EXPENDEDBY GRANTEE	ANY DIVERSION	DATES OF REPORTS	DATE OF VERIFICATION	RESULTS OF VERIFICATION
6	American Masala	1189 Chamberlain Mills Road Salem, NY 12865	1/7/2020	190,000	4-country investigation aimed at better understanding tobacco use and how it impacts daily life and society	190,000	NO	12/17/2020 12/23/2020	12/18/2020 12/23/2020	Total Expenditure of \$190,000 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
7	Analytisch-Biologisches Forschungslabor Gmbh	Semmelweisstrasse 5 Planegg 82152 Germany	2/12/2019	2,629,404	Identification of biomarkers and/or patterns of biomarkers that properly distinguish among nicotine product use groups for the development of a prototype diagnostic tool to be used in interventions to help smokers quit or switch to a reduced risk product	2,085,420	NO	01/07/2020 03/31/2020 06/29/2020 09/30/2020	01/08/2020 04/14/2020 06/30/2020 10/04/2020	Total Expenditure of \$2,085,420 as per report which is 79% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

	GRANTEE'S NAME	GRANTEE'S ADDRESS	GRANT DATE	GRANT AMOUNT	PURPOSE	AMOUNT EXPENDED BY GRANTEE	ANY DIVERSION	DATES OF REPORTS	DATE OF VERIFICATION	RESULTS OF VERIFICATION
8	Asia Management Private Limited	No 10/1 Medhuziyaraiy Magu Male 20097 Maldives	9/16/2019	98,769	Survey of smoking behavior of young adults and development of 2 year plan of action for ending youth smoking in the Maldives	59,803	NO	6/1/2020	1/8/2020	Total Expenditure of \$59,803 as per report which is 61% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
9	Asociación Argentina de Servicios y Estudios Médicos de Avanzada	ESTOMBA 1710-CABA. Argentina	3/6/2020	128,850	Garner consensus and support for COP9 to consider harm reduction as integral to tobacco control	88,810	NO	07/20/2020 10/30/2020	07/24/2020 11/05/2020	Total Expenditure of \$88,810 as per report which is 69% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

	GRANTEE'S NAME	GRANTEE'S ADDRESS	GRANT DATE	GRANT AMOUNT	PURPOSE	AMOUNT EXPENDED BY GRANTEE	ANY DIVERSION	DATES OF REPORTS	DATE OF VERIFICATION	RESULTS OF VERIFICATION
10	Behavioral Diagnostics, LLC	2500 Crosspark Road Coralville, IA 52241 USA	2/12/2019	2,065,056	Development of a kit for the detection and quantification of tobacco and other nicotine product use	1,977,411	NO	03/19/2020 06/17/2020 08/24/2020 12/21/2020	03/25/2020 06/23/2020 10/04/2020 12/23/2020	Total Expenditure of \$1,977,411 as per report which is 96% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
11	Biochromex	27 Cambridge Park Wanstead London E11 2PU UK	1/30/2020	29,100	Development of a relative risk hierarchy of nicotine products	29,100	NO	03/23/2020 06/24/2020 10/08/2020	03/30/2020 06/24/2020 10/17/2020	Total Expenditure of \$29,100 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

	GRANTEE'S NAME	GRANTEE'S ADDRESS	GRANT DATE	GRANT AMOUNT	PURPOSE	AMOUNT EXPENDED BY GRANTEE	ANY DIVERSION	DATES OF REPORTS	DATE OF VERIFICATION	RESULTS OF VERIFICATION
12	BOTEC Analysis, LLC	6303 Owensmouth Ave, 10th Floor CA 91367-2264	7/30/2019	999,224	Investigate the drivers for smoking cessation in five countries with ANDS markets	946,700	NO	01/31/2020 04/29/2020 07/30/2020 11/17/2020	02/10/2020 05/11/2020 08/10/2020 11/18/2020	Total Expenditure of \$946,700 as per report which is 95% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
13	Cambridge Design Partnership Ltd	The Long Barn Church Road Cambridge CB23 2RF UK	4/30/2019	791,436	Investigate the impediments to adoption of RRP for cessation and THR in 4 LMICs	791,436	NO	01/17/2020 02/14/2020	01/21/2020 02/15/2020	Total Expenditure of \$791,436 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.



	GRANTEE'S NAME	GRANTEE'S ADDRESS	GRANT DATE	GRANT AMOUNT	PURPOSE	AMOUNT EXPENDED BY GRANTEE	ANY DIVERSION	DATES OF REPORTS	DATE OF VERIFICATION	RESULTS OF VERIFICATION
14	Caritas Italiana	Via Aurelia Rome 796 - 00165 Italy	04/17/2020	100,000	Grant for charitable, humanitarian purposes	100,000	NO	05/27/2020	05/29/2020	Total Expenditure of \$100,000 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
15	Central Region Milk Producers Association	P.O. Box 376 Lilongwe Malawi	11/8/2018	49,857	Support dairy farming cooperatives in the Mchinji district as a viable alternative to tobacco farming	49,857	NO	8/22/2020	8/31/2020	Total Expenditure of \$49,857 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

	GRANTEE'S NAME	GRANTEE'S ADDRESS	GRANT DATE	GRANT AMOUNT	PURPOSE	AMOUNT EXPENDED BY GRANTEE	ANY DIVERSION	DATES OF REPORTS	DATE OF VERIFICATION	RESULTS OF VERIFICATION
16	Centre for Health Research and Education Limited	16 Guildford Drive Chandlers Ford Eastleigh Hampshire SO53 3PT UK	11/28/2019	490,304	Research to accelerate progress towards smoking cessation in the UK	425,039	NO	03/19/2020 09/15/2020 12/21/2020	03/20/2020 11/05/2020 01/13/2021	Total Expenditure of \$425,039 as per report which is 87% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
17	Centre for Health Research and Education Limited	16 Guildford Drive Chandlers Ford Eastleigh Hampshire SO53 3PT UK	11/28/2019	683,210	Research, develop and deliver practical solutions to achieve and sustain smoking cessation in mental health sites in the UK	547,735	NO	03/30/2020 06/30/2020 09/30/2020 02/08/2021	04/14/2020 07/24/2020 11/05/2020 02/10/2021	Total Expenditure of \$547,735 as per report which is 80% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

	GRANTEE'S NAME	GRANTEE'S ADDRESS	GRANT DATE	GRANT AMOUNT	PURPOSE	AMOUNT EXPENDED BY GRANTEE	ANY DIVERSION	DATES OF REPORTS	DATE OF VERIFICATION	RESULTS OF VERIFICATION
18	Centre for Health Research and Education Limited	16 Guildford Drive Chandlers Ford Eastleigh Hampshire SO53 3PT UK	1/27/2020	199,784	Scoping work for the establishment of a multi-center network for tobacco research and cessation in India	199,744	NO	05/14/2020 10/23/2020	05/28/2020 11/06/2020	Total Expenditure of \$199,744 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
19	Centre for Health Research and Education Limited	16 Guildford Drive Chandlers Ford Eastleigh Hampshire SO53 3PT UK	10/12/2020	628,875	Capacity building to reduce tobacco-related death and disease in India					A report will be received at a later date to verify the use of the grant funds during the 2020 tax-year. To the knowledge of the foundation, no portion of the grant has been utilized for other than its intended purpose as per the executed grant agreement.
20	Centre of Research Excellence on Indigenous Sovereignty & Smoking, The	109 Carlisle Road Torbay, Auckland 0632 New Zealand	7/30/2019	1,839,919	Establishing a global Centre of Excellence (CoE) for research on smoking cessation and harm reduction in indigenous people and marginalized communities	1,162,788	NO	12/31/2020 04/14/2020 09/30/2020	01/08/2020 04/14/2020 10/04/2020	Total Expenditure of \$1,162,788 as per report which is 63% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

	GRANTEE'S NAME	GRANTEE'S ADDRESS	GRANT DATE	GRANT AMOUNT	PURPOSE	AMOUNT EXPENDEDBY GRANTEE	ANY DIVERSION	DATES OF REPORTS	DATE OF VERIFICATION	RESULTS OF VERIFICATION
21	ECLAT srl	University of Catania Torre Biologica Catania, Sicily Italy	2/12/2019	7,787,126	Establishment of a Center of Excellence for the Acceleration of Harm Reduction	5,304,002	NO	02/01/2020 04/24/2020 07/30/2020 11/03/2020	02/28/2020 05/28/2020 10/04/2020 11/20/2020	Total Expenditure of \$5,304,002 as per report which is 68% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
22	ECLAT srl	University of Catania Torre Biologica Catania, Sicily Italy	7/30/2019	225,505	Develop guidelines for quality tobacco / nicotine product research	133,331	NO	01/14/2020 03/25/2020 10/26/2020	01/21/2020 03/30/2020 11/18/2020	Total Expenditure of \$133,331 as per report which is 59% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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23	ECLAT srl	University of Catania Torre Biologica Catania, Sicily Italy	11/4/2019	74,921	Bridge the gaps and build accountability in media communications around tobacco harm reduction science	29,708	NO	3/27/2020	3/30/2020	Total Expenditure of \$29,708 as per report which is 40% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
24	Economic Policy Research Foundation Of Turkey (TEPAV)	Söğütözü, Söğütözü Cd. No:43, 06510 Çankaya / Ankara Turkey Ankara 06510 Turkey	1/8/2020	96,104	Economic analysis of tobacco, tobacco products, and their alternatives in Turkey and the Turkish Republic of Northern Cyprus	92,834	NO	05/05/2020 08/28/2020	05/11/2020 09/14/2020	Total Expenditure of \$92,834 as per report which is 97% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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25	Embera Neuro Therapeutics	29 Babe Ruth Drive Sudbury, MA 01778	8/28/2019	208,420	Manufacture material for Tobacco Use Disorder Study	174,055	NO	05/14/2020 10/16/2020	05/15/2020 11/05/2020	Total Expenditure of \$174,055 as per report which is 84% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
26	Ernst & Young AG	Maagplatz 1, Zurich 8010 Switzerland	7/30/2019	971,235	Synthesize and formulate lessons learned from countries with ANDS availability which have seen drastic drops in number of smokers	971,235	NO	11/20/2020	11/20/2020	Total Expenditure of \$971,235 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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27	Ernst & Young AG	Maagplatz 1, Zurich 8010 Switzerland	7/30/2019	173,793	Identification of observable smoker characteristics that are linked to cessation success	174,631	NO	11/19/2020	11/20/2020	Total Expenditure of \$174,631 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
28	Etheim Biotics, LLC	34 Cessna Court Gaithersburg, MD 20879	2/12/2019	4,107,033	Multi-regional study to examine the impact of smoking and vaping on the human microbiome	2,690,467	NO	02/27/2020 03/31/2020	03/27/2020 04/14/2020	Total Expenditure of \$2,690,467 as per report which is 66% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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29	Euromonitor International Inc	60-61 Britton Street London EC1M 5UX	2/12/2019	3,512,116	Tobacco Transformation Index process design, research and analysis, and reporting	3,512,116	NO	02/13/2020 03/02/2020 09/22/2020 12/02/2020	03/06/2020 03/24/2020 10/20/2020 12/21/2020	Total Expenditure of \$3,512,116 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
30	Euromonitor International Inc	60-61 Britton Street London EC1M 5UX	3/10/2020	494,937	Investigate the impact of the EU menthol ban and its potential to reduce the total consumption of combustible tobacco	346,456	NO	03/06/2020 06/01/2020	03/30/2020 06/29/2020	Total Expenditure of \$346,456 as per report which is 70% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.



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31	Farmers Union of Malawi	P.O. Box 30457 Lilongwe 3 Malawi	7/30/2019	250,000	Agriculture recovery project, including opportunity for crop diversification to prepare for a time when there is a reduced demand for leaf tobacco	249,458	NO	02/19/2020 06/30/2020 09/01/2020 09/02/2020 03/17/2021	03/09/2020 07/23/2020 11/19/2020 09/02/2020 04/13/2021	Total Expenditure of \$249,458 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
32	Foreign Policy Group	1750 Pennsylvania Ave NW Suite 200 Washington, DC 20006 United States	3/24/2020	68,250	Researching the role of women in leading change in the tobacco industry, and others, through the "Women as Levers of Change" project	38,250	NO	04/03/2020 10/05/2020	04/23/2020 10/14/2020	Total Expenditure of \$38,250 as per report which is 56% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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33	Healthy Initiatives	36 Shota Rustaveli, Apt 14, Kiev 01033 Ukraine	1/10/2020	217,954	Evaluate the status and the gaps in Tobacco Control policies in Ukraine, the Russian Federation and number of developing Former Soviet countries in East and Central Asia (ECA) region	192,494	NO	05/18/2020 08/12/2020 10/30/2020	05/28/2020 08/21/2020 11/18/2020	Total Expenditure of \$192,494 as per report which is 88% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
34	Healthy Initiatives	36 Shota Rustaveli, Apt 14, Kiev 01033 Ukraine	11/12/2020	99,162	Develop empirical evidence to help guide key stakeholders on the specific steps on ending smoking epidemic					A report will be received at a later date to verify the use of the grant funds during the 2020 tax-year. To the knowledge of the foundation, no portion of the grant has been utilized for other than its intended purpose as per the executed grant agreement.

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35	Institute for Human Development	Plot No. 84, Functional Industrial Estate (FIE) Patparganj Delhi 110092 India	9/3/2020	13,502	Study legal protections impacting Beedi workers in India					A report will be received at a later date to verify the use of the grant funds during the 2020 tax-year. To the knowledge of the foundation, no portion of the grant has been utilized for other than its intended purpose as per the executed grant agreement.
36	International Network of Nicotine Consumer Organizations	Quai de l'Ile 13 CH-1204 Geneva Switzerland	11/26/2018	110,300	General support to INNCO to assist the organization in its mission to promote tobacco harm reduction strategies	110,062	NO	11/14/2019	1/8/2020	Total Expenditure of \$110,062 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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37	International Network of Nicotine Consumer Organisations	Quai de l'Ile 13 CH-1204 Geneva Switzerland	10/2/2019	234,612	General support to INNCO to assist the organization in its work as an advocate for tobacco harm reduction	234,612	NO	9/23/2020	10/3/2020	Total Expenditure of \$234,612 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
38	International Network of Nicotine Consumer Organisations	Quai de l'Ile 13 CH-1204 Geneva Switzerland	1/15/2020	65,000	Support to INNCO to assist the organization in its work to garner consensus and support for COP9 to consider harm reduction as integral to tobacco control	65,000	NO	09/28/2020	3/10/2020	Total Expenditure of \$65,000 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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39	International Network of Nicotine Consumer Organisations	Quai de l'Ile 13 CH-1204 Geneva Switzerland	7/5/2020	258,143	General support to INNCO to assist the organization in its work as an advocate for tobacco harm reduction					A report will be received at a later date to verify the use of the grant funds during the 2020 tax-year. To the knowledge of the foundation, no portion of the grant has been utilized for other than its intended purpose as per the executed grant agreement.
40	Just Managing Consulting	PO Box 3421, Matieland, Stellenbosch 7602 South Africa	1/20/2020	20,000	Report on government ownership in the tobacco industry, conflicts of interest, FTC reporting, and public health policies	20,000	NO	3/5/2020	3/20/2020	Total Expenditure of \$20,000 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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41	Just Managing Consulting	PO Box 3421, Matieland, Stellenbosch 7602 South Africa	10/12/2020	29,100	Contribute to the development of a theory of change model for state-owned tobacco companies	27,200	NO	4/1/2021	4/5/2021	Total Expenditure of \$27,200 as per report which is 93% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
42	Just Managing Consulting	PO Box 3421, Matieland, Stellenbosch 7602 South Africa	03/31/2020	38,250	In-depth analysis of areas identified while gathering data about government ownership in tobacco companies	38,250	NO	04/03/2020 08/12/2020	04/08/2020 08/17/2020	Total Expenditure of \$38,250 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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43	Knowledge Action Change Limited	8 Northumberland Avenue London WC2N 5BY UK	10/26/2018	467,291	Develop and disseminate Global State of Tobacco Harm Reduction report to increase awareness about national THR and cessation	466,664	NO	3/31/2020	4/14/2020	Total Expenditure of \$466,664 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
44	Knowledge Action Change Limited	8 Northumberland Avenue London WC2N 5BY UK	2/12/2019	1,169,896	Increase research capacity to understand, develop, and implement the science and evidence base relevant to THR	885,110	NO	01/24/2020 03/31/2020 06/30/2020 09/25/2020	01/28/2020 04/14/2020 06/30/2020 10/04/2020	Total Expenditure of \$885,110 as per report which is 76% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
45	Knowledge Action Change Limited	8 Northumberland Avenue London WC2N 5BY UK	2/12/2019	1,098,932	Develop and disseminate Global State of Tobacco Harm Reduction report to increase awareness about national THR and cessation	792,013	NO	01/24/2020 03/31/2020 06/30/3030 09/25/2020	01/28/2020 04/14/2020 06/30/2020 10/04/2020	Total Expenditure of \$792,013 as per report which is 72% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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46	Land O'Lakes Venture37	1725 DeSales Street, NW, Suite 800 Washington, DC 20036	12/17/2018	3,663,876	Establishment of a Center of Excellence for Agricultural Transformation in Malawi	3,050,950	NO	10/29/2019 03/07/2020 05/27/2020 10/20/2020 10/30/2020 02/23/2021	02/26/2020 03/19/2020 06/01/2020 10/22/2020 11/19/2020 04/09/2021	Total Expenditure of \$3,050,950 as per report which is 83% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
47	Law Enforcement Action Partners (Filter Magazine)	The Influence Foundation, Inc. 447 Broadway, 2nd Floor New York, NY 10013	12/4/2018	220,000	Build capacity to share stories that present facts about tobacco harm reduction and nicotine use to all stakeholders	220,000	NO	01/15/2020 04/03/2020 09/14/2020 11/04/2020	01/21/2020 04/14/2020 10/03/2020 11/18/2020	Total Expenditure of \$220,000 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
48	Lega Italiana Anti Fumo (LIAF)	Via Siena 24 Catania 95128 Italy	04/17/2020	50,000	Grant for charitable, humanitarian purposes	50,000	NO	11/5/2020	05/14/2020	Total Expenditure of \$50,000 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.



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49	Lumos Diagnostics Pty Ltd	2724 Loker Ave West Carlsbad, CA 92010	2/12/2019	1,684,802	Development of a rapid point-of-care assay panel that can differentiate among the primary sources of nicotine to enable stronger correlations of nicotine sources with biomarkers of harm	743,657	NO	01/06/2020 02/14/2020 06/23/2020	01/08/2020 02/20/2020 06/24/2020	Total Expenditure of \$743,657 as per report which is 44% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
50	Lung Foundation, The	MediCity - D6 Building 1 Thane Road Nottingham NG90 6BH UK	6/12/2020	164,989	Investigate the nexus of COVID19 and nicotine use	96,413	NO	09/30/3030	3/10/2020	Total Expenditure of \$96,413 as per report which is 58% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
51	Merkos L'Inyononei Chinuch	via Benvenuto Cellini 2 Milano 20129 Italy	5/5/2020	100,000	Grant for charitable, humanitarian purposes	100,000	NO	05/18/2020	05/21/2020	Total Expenditure of \$100,000 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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52	Metaform Ventures LLC	505 Cento Ct Pleasanton, CA 94566	7/30/2019	1,288,036	Research regarding smokeless tobacco (SLT) products in India and development of standards for the chemical constituents of SLTs with a goal to ending smoking and minimizing harm caused by harmful and potentially harmful constituents of SLTs	1,086,386	NO	01/11/2020 04/29/2020 09/06/2020	02/20/2020 06/04/2020 10/13/2020	Total Expenditure of \$1,086,386 as per report which is 84% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
53	National Smallholders Farmers Association of Malawi (NASFAM)	NASFAM House City Centre P.o. Box 30716 Lilongwe 3 Malawi	04/30/2020	21,541	Grant for charitable, humanitarian purposes	21,541	NO	05/01/2020 12/18/2020	05/11/2020 12/18/2020	Total Expenditure of \$21,541 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
54	Oncimmune Plc	Clinical Sciences Building Hucknall Road Nottingham NG5 1PB UK	3/19/2020	139,720	Establishing a center and building capacity for its sustainability for the purpose of research and evaluation of innovative smoking cessation and harm reduction strategies to help smokers quit or switch to reduced risk products	87,038	NO	05/19/2020 12/10/2020	05/28/2020 12/11/2020	Total Expenditure of \$87,038 as per report which is 62% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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55	ORG Architecten en Stadsontwerpers BVBA	Koolmijnenkaai 30-34, Brussels 1080 Belgium	7/30/2019	148,694	Design work for the Center for Agricultural Transformation in Malawi to serve as a hub for agricultural transformation and prepare for a time when there is less demand for leaf tobacco	148,694	NO	03/01/2020 03/16/2020	03/04/2020 03/19/2020	Total Expenditure of \$148,694 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
56	Palladium Group Global	1331 Pennsylvania Avenue NW, Suite 600 Washington, DC 20004-1751	6/3/2019	2,052,512	Develop and manage investment program with the aim of assisting small holder farmers transition from tobacco crop and provide them with alternate livelihoods	1,127,683	NO	12/18/2019 01/31/2020 05/28/2020 07/30/2020 11/03/2020	02/13/2020 02/14/2020 06/24/2020 09/01/2020 11/19/2020	Total Expenditure of \$1,127,683 as per report which is 55% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
57	Palladium Group Global	1331 Pennsylvania Avenue NW, Suite 600 Washington, DC 20004-1751	10/5/2020	180,000	Support agricultural productivity and diversification through better management of natural resources to prepare Malawi for a time when there is less demand for leaf tobacco	138,856	NO	1/30/2021	4/13/2021	Total Expenditure of \$138,856 as per report which is 77% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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58	Patras Science Park (ΕΠΙΣΤΗΜΟΝΙΚΟ ΠΑΡΚΟ ΠΑΤΡΩΝ Α.Ε)	University Campus, 26504, Rio Achaia Greece	05/30/2018 11/16/2018	105,985	Scoping work for development of an Institute for Research and Innovation on THR	105,452	NO	05/28/2019	05/29/2019	Total Expenditure of \$105,452 as per report which is 99% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
59	QBal (Quality Belligerence)	Office 7, 3rd Floor, Al-Ghaffar Mall, G-11 Markaz, Islamabad, Pakistan Islamabad 44000 Pakistan	7/30/2019	200,000	Identify best practice evaluation methods for readily available tobacco and nicotine consumer products	200,000	NO	1/7/2020	1/8/2020	Total Expenditure of \$200,000 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
60	QBal (Quality Belligerence)	Office 7, 3rd Floor, Al-Ghaffar Mall, G-11 Markaz, Islamabad, Pakistan Islamabad 44000 Pakistan	3/16/2020	119,732	Building an economic argument for tobacco harm reduction as one route to cessation in Pakistan	80,462	NO	06/08/2020 08/31/2020	06/19/2020 10/03/2020	Total Expenditure of \$80,462 as per report which is 67% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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61	Rose Research Center, LLC	7240 ACC Blvd Raleigh, NC Raleigh, NC 27617	2/12/2019	5,951,921	Operationalization of a Translational Research Center for the evaluation of innovative smoking cessation and harm reduction strategies to help smokers quit or switch to reduced risk products	4,637,531	NO	01/31/2020 03/26/2020 10/20/2020	02/01/2020 03/31/2020 11/05/2020	Total Expenditure of \$4,637,531 as per report which is 78% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
62	Rotary Club of Lilongwe	District 9210 of Rotary International Platinum Hotel, City Center Lilongwe MALAWI	2/13/2019	38,500	Sponsor scholarship opportunities for students to become educated about transforming the agricultural sector to help prepare for a time there is less demand for leaf tobacco in Malawi	30,996	NO	01/17/2020 02/03/2020 06/29/2020	02/27/2020 08/28/2020 06/30/2020	Total Expenditure of \$30,996 as per report which is 81% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
63	Strategic Impact Advisors	6511 Griffith Road Laytonsville MD 20882 United States	7/30/2019	160,636	Educate smallholder tobacco farmers about financial services as part of the effort to prepare them for a time when there is less demand for leaf tobacco	160,636	NO	10/8/2020	10/12/2020	Total Expenditure of \$160,636 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

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64	Sustainability Inc.	81 Prospect Street Brooklyn, NY 11201 United States	2/12/2019	4,528,275	Tobacco Transformation Index stakeholder engagement, development and facilitation of Advisory Panel, and post-publication project review	4,528,275	NO	02/12/2020 03/13/2020 06/30/2020 07/14/2020 12/02/2020 12/15/2020 12/15/2020	02/14/2020 03/17/2020 07/09/2020 07/20/2020 12/03/2020 12/28/2020 12/30/2020	Total Expenditure of \$4,528,275 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
65	Thanthwe Holdings Limited	Chitipi 6/1/53 P.O. Box 1215 Lilongwe Malawi	7/30/2019	240,600	Contribute to the expansion of protected cultivation in Malawi and neighboring countries	220,141	NO	08/17/2020 08/25/2020 03/17/2021	07/31/2020 08/31/2020 03/25/2021	Total Expenditure of \$220,141 as per report which is 91% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
66	Yayasan Pena Bulu	Jl. Rawabambu I D No. 6 Pasar Minggu Jakarta 12520 Indonesia	5/7/2020	68,000	Scoping study to analyze the economic cost and health burden associated with tobacco morbidity and mortality with the goal of ending the Indonesian smoking epidemic	24,980	NO	10/2/2020	10/5/2020	Total Expenditure of \$24,980 as per report which is 37% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

	GRANTEE'S NAME	GRANTEE'S ADDRESS	GRANT DATE	GRANT AMOUNT	PURPOSE	AMOUNT EXPENDED BY GRANTEE	ANY DIVERSION	DATES OF REPORTS	DATE OF VERIFICATION	RESULTS OF VERIFICATION
67	Youth Bridge, Inc.	LCUNA Building Bob Taylor's Junction- Paynesville City Liberia	12/12/2018	85,575	Determine pre-intervention conditions and best practice strategies to end smoking in Liberia	85,575	NO	01/11/2020 01/17/2020	01/21/2020 01/21/2020	Total Expenditure of \$85,575 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.
68	Zodiak Broadcasting Station Limited	P/Bag 312 Capital City Malawi	4/5/2020	42,843	Grant for charitable, humanitarian purposes	42,843	NO	05/07/2020 12/15/2020	05/11/2020 12/15/2020	Total Expenditure of \$42,843 as per report which is 100% utilization of the grant value. To the best of the Foundation's knowledge, and based upon reports furnished by the grantee, no portion of the grant has been used for other than its intended purposes.

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEESATTACHMENT 11

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
DEREK YACH 155 EAST 44TH ST, 6TH FL NEW YORK, NY 10017	PRESIDENT/DIRECTOR 40.00	922,651.	62,483.	0.
THE INDIVIDUAL IDENTIFIED ABOVE WAS NOT COMPENSATED FOR HIS ROLE AS A DIRECTOR. THE INDIVIDUAL INCURRED AN AVERAGE OF 40 HOURS A WEEK IN HIS ROLE AS PRESIDENT IN SUPPORT OF THE FOUNDATION'S EXEMPT PURPOSES, AND COMPENSATION REPORTED RELATES SOLELY TO HIS POSITION AS PRESIDENT.				
ZOE FELDMAN 155 EAST 44TH ST, 6TH FL NEW YORK, NY 10017	DIRECTOR (UNTIL 7/27/2020) 4.00	44,827.	0.	0.
DYBORN CHIBONGA 155 EAST 44TH ST, 6TH FL NEW YORK, NY 10017	DIRECTOR 1.00	50,000.	0.	0.
PAMELA PARIZEK 155 EAST 44TH ST, 6TH FL NEW YORK, NY 10017	CHAIR/DIRECTOR 14.00	125,000.	0.	0.
DARSHITA GILLIES 155 EAST 44TH ST, 6TH FL NEW YORK, NY 10017	DIRECTOR (UNTIL 11/2/2020) 4.00	41,984.	0.	0.



FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEESATTACHMENT 11 (CONT'D)

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
PAUL GARDNER 155 EAST 44TH ST, 6TH FL NEW YORK, NY 10017	DIRECTOR 5.00	50,000.	0.	0.
CORINNA LATHAN 155 EAST 44TH ST, 6TH FL NEW YORK, NY 10017	DIRECTOR 7.00	50,000.	0.	0.
NORIKO TOJO 155 EAST 44TH ST, 6TH FL NEW YORK, NY 10017	DIRECTOR 2.00	50,000.	0.	0.
DAVID JANAZZO 155 EAST 44TH ST, 6TH FL NEW YORK, NY 10017	CFO/TREASURER 40.00	332,533.	41,033.	0.
THE INDIVIDUAL IDENTIFIED ABOVE WAS NOT COMPENSATED FOR HIS ROLE AS TREASURER. THE INDIVIDUAL INCURRED AN AVERAGE OF 40 HOURS A WEEK IN HIS ROLE AS CFO IN SUPPORT OF THE FOUNDATION'S EXEMPT PURPOSES, AND COMPENSATION REPORTED RELATES SOLELY TO HIS POSITION AS CFO.				
HEIDI GOLDSTEIN 155 EAST 44TH ST, 6TH FL NEW YORK, NY 10017	GENERAL COUNSEL/SECRETARY 40.00	340,326.	42,951.	0.
THE INDIVIDUAL IDENTIFIED ABOVE WAS NOT COMPENSATED FOR HER ROLE AS SECRETARY. THE INDIVIDUAL INCURRED AN AVERAGE OF 40 HOURS A WEEK OF HER ROLE AS GENERAL COUNSEL IN SUPPORT OF THE FOUNDATION'S EXEMPT PURPOSES, AND COMPENSATION REPORTED RELATES SOLELY TO HER POSITION AS GENERAL				

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 11 (CONT'D)

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
COUNSEL.				
VANDANA ABRAMSON 155 EAST 44TH ST, 6TH FL NEW YORK, NY 10017	DIRECTOR 1.00	45,245.	0.	0.
ANGELA MARSHALL HOFMANN 155 EAST 44TH ST, 6TH FL NEW YORK, NY 10017	DIRECTOR 1.00	45,245.	0.	0.
GRAND TOTALS		<u>2,097,811.</u>	<u>146,467.</u>	<u>0.</u>

990PF, PART VIII - COMPENSATION OF THE FIVE HIGHEST PAID EMPLOYEESATTACHMENT 12

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>
NITIN MITTAL 155 EAST 44TH ST 6TH FL NEW YORK, NY 10017	CSO/COO 40.00	405,118.	16,829.
JAMES LUTZWEILER 155 EAST 44TH ST 6TH FL NEW YORK, NY 10017	VP-AGRICULTURE 40.00	341,501.	26,914.
TOM HARDING 155 EAST 44TH ST 6TH FL NEW YORK, NY 10017	FORMER COO 40.00	307,692.	0.
EHSAN LATIF 155 EAST 44TH ST 6TH FL NEW YORK, NY 10017	VP-GRANT MGMT & DEV 40.00	253,130.	10,125.
BRIAN ERKKILA 155 EAST 44TH ST 6TH FL NEW YORK, NY 10017	VP-HEALTH, SCI&TECH 40.00	252,134.	25,866.
	TOTAL COMPENSATION	<u>1,559,575.</u>	<u>79,734.</u>

990PF, PART VIII- COMPENSATION OF THE FIVE HIGHEST PAID PROFESSIONALSATTACHMENT 13

<u>NAME AND ADDRESS</u>	<u>TYPE OF SERVICE</u>	<u>COMPENSATION</u>
RUDER FINN 425 E. 53RD ST. NEW YORK, NY 10022	PUBLIC RELATIONS	2,083,580.
SIGNALS ANALYTICS 1325 6TH AVE 25TH FLOOR NEW YORK, NY 10019	DATA PLATFORM DEV.	2,035,000.
FERGUSON CARDO LTD. 20 WATT ROAD, BRIDGE OF WEIR RENFREWSHIRE UNITED KINGDOM PA11 3DL	CONSULTING SERVICES	326,009.
TRANSPERFECT TRANSLATIONS ITL. INC. 1250 BROADWAY, 32ND FL NEW YORK, NY 10001	WEBSITE TRANSLATIONS	324,153.
CSDCONSULTING SARL CHEMIN DE LA DÔLE 1 1196 GLAND SWITZERLAND	CONSULTING SERVICES	240,376.
	TOTAL COMPENSATION	<u>5,009,118.</u>

FORM 990PF, PART XV - NAME, ADDRESS AND PHONE FOR APPLICATIONS

APPLICATION SHOULD BE ADDRESSED TO:

URL:SMOKEFREEWORLD.ORG

NEW YORK, NY 10017

SUPPORT@SMOKEFREEWORLD.ORG

FORM IN WHICH APPLICATION SHOULD BE SUBMITTED AND INFORMATION THEY SHOULD INCLUDE:

SEE SPECIFIC RFP INFORMATION POSTED ON THE FOUNDATION'S WEBSITE

SUBMISSION DEADLINES:

SEE SPECIFIC RFP INFORMATION POSTED ON THE FOUNDATION'S WEBSITE

RESTRICTIONS OR LIMITATIONS ON AWARDS:

THE FOUNDATION ISSUES REQUESTS FOR PROPOSALS (RFPS) TO ENLIST SUPPORT TO ACCELERATE THE GLOBAL DECLINE IN SMOKING. THE FOUNDATION RECOGNIZES THAT COUNTRIES AT DIFFERENT LEVELS OF ECONOMIC DEVELOPMENT WILL NEED DIFFERENT SOLUTIONS, AND THAT ADVANCES IN BEHAVIORAL SCIENCE AND TECHNOLOGY CAN PLAY A KEY ROLE IN HARM REDUCTION RELATIVE TO SMOKING. THE FOUNDATION PROVIDES GRANTS TO SUPPORT WORK THAT IS BEING CONDUCTED BY INDEPENDENT RESEARCH ORGANIZATIONS, ACADEMIC INSTITUTIONS AND CENTERS, AND ORGANIZATIONS IN THE PRIVATE SECTOR.

FORM 990-PF, PART XVI-A - ANALYSIS OF OTHER REVENUE

ATTACHMENT 15

<u>DESCRIPTION</u>	<u>BUSINESS CODE</u>	<u>AMOUNT</u>	<u>EXCLUSION CODE</u>	<u>AMOUNT</u>	<u>RELATED OR EXEMPT FUNCTION INCOME</u>
RETURN OF PRIOR YEAR DISTRIBUTIONS			01	183,362.	
TOTALS				<u>183,362.</u>	

	RECIPIENT NAME	RECIPIENT ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
1	A. C. NIELSEN AMER (SHJ. BR.)	Level 3, Al Reem Plaza Tower P.O.Box: 22525 Buheira Corniche Sharjah United Arab Emirates	N/A	NC	Survey on usage patterns and perceptions regarding tobacco products and ANDSS among adults across 7 countries	385,759
2	ACK Consultants	Burfield House 121-123 Athelstan Road Faversham ME13 8QW United Kingdom	N/A	NC	Conduct a Virtual Global Conference on "15 Years of FCTC"	63,800
3	Agenome LLC	Yolee Grande, 14, 2nd Floor Pottery Road, Richards Town Frazer Town Bangalore 560005 India	N/A	NC	Assess cancer risk of smokers through DNA and RNA research and creation of genome database with an aim to encourage smokers to quit or transition to reduced risk products	639,422
4	Akshaya Patra Foundation	6800 Owensmouth Avenue Suite 230, Canoga Park CA 91303 USA	N/A	PC	Grant for charitable, humanitarian purposes	25,000
5	Alternative Research Initiative	Office # 31, 1st Floor Al-Anayat Mall Islamabad Pakistan	N/A	NC	Garner consensus and support for COP9 to consider harm reduction as integral to tobacco control	176,400
6	American India Foundation	216 East 45th street 7th floor New York NY 10017- 3304 USA	N/A	PC	Grant for charitable, humanitarian purposes	25,000
7	American Masala	1189 Chamberlain Mills Road Salem NY 12865 USA	N/A	NC	4-country investigation aimed at better understanding tobacco use and how it impacts daily life and society	190,000
8	Analytisch-Biologisches Forschungslabor GmbH	Semmelweisstrasse 5 Planegg 82152 Germany	N/A	NC	Identification of biomarkers and/or patterns of biomarkers that properly distinguish among nicotine product use groups for the development of a prototype diagnostic tool to be used in interventions to help smokers quit or switch to a reduced risk product	1,168,624
9	Asia Management Private Limited	No 10/1 Medhuziyaraiy Magu Male 20097 Maldives	N/A	NC	Survey of smoking behavior of young adults and development of 2 year plan of action for ending youth smoking in the Maldives	38,844
10	Asia Public History Foundation Inc	26 Everett St Cambridge MA 02138 USA	N/A	PC	Study of tobacco sector in India	53,631
11	Asociación Argentina de Servicios y Estudios Médicos de Avanzada	ESTOMBA 1710 CABA Argentina	N/A	NC	Garner consensus and support for COP9 to consider harm reduction as integral to tobacco control	128,850
12	Behavioral Diagnostics, LLC	2500 Crossspark Road, Coralville IA 52241 USA	N/A	NC	Development of a kit for the detection and quantification of tobacco and other nicotine product use	774,396

	RECIPIENT NAME	RECIPIENT ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
13	Biochromex	27 Cambridge Park Wanstead London E11 2PU United Kingdom	N/A	NC	Development of a relative risk hierarchy of nicotine products	29,100
14	BOTEC Analysis, LLC	6303 Owensmouth Ave, 10th Floor, CA 91367-2264 USA	N/A	NC	Investigate the Drivers for Smoking Cessation in Five Countries with ANDS Markets	699,457
15	Cambridge Design Partnership Ltd	The Long Barn Church Road Cambridge CB23 2RF United Kingdom	N/A	NC	Investigate the impediments to adoption of RRP for cessation and THR in 4 LMICs	277,003
16	Caritas Italiana	Via Aurelia Rome 796 - 00165 Italy	N/A	NC	Grant for charitable, humanitarian purposes	100,000
17	Centre for Health Research and Education Limited	16 Guildford Drive Chandlers Ford Eastleigh Hampshire SO53 3PT United Kingdom	N/A	NC	Research to accelerate progress towards smoking cessation in the UK	245,152
18	Centre for Health Research and Education Limited	16 Guildford Drive Chandlers Ford Eastleigh Hampshire SO53 3PT United Kingdom	N/A	NC	Research, develop and deliver practical solutions to achieve and sustain smoking cessation in mental health sites in the UK	478,247
19	Centre for Health Research and Education Limited	16 Guildford Drive Chandlers Ford Eastleigh Hampshire SO53 3PT United Kingdom	N/A	NC	Capacity building to reduce tobacco-related death and disease in India	628,875
20	Centre for Health Research and Education Limited	16 Guildford Drive Chandlers Ford Eastleigh Hampshire SO53 3PT United Kingdom	N/A	NC	Scoping work for the establishment of a multi-center network for tobacco research and cessation in India	199,784
21	Centre of Research Excellence on Indigenous Sovereignty & Smoking	109 Carlisle Road Torbay Auckland 0632 New Zealand	N/A	NC	Establishing a global Centre of Excellence (CoE) for research on smoking cessation and harm reduction in indigenous people and marginalized communities	642,159
22	Child Sight Foundation	Apartment A1 & B3 House 09, Road 2/1 Dhaka 1213 Bangladesh	N/A	PC	Review of progress in tobacco control in five countries in Southeast Asia including identification of gaps in policy-relevant research	192,740
23	Conrad Foundation	1120 NASA Parkway Suite 108, Houston TX 77058 USA	N/A	PC	Sponsor scholarships for Conrad to provide to students in special innovator category relating to ending smoking in this generation	275,000
24	Conrad Foundation	1120 NASA Parkway Suite 108, Houston TX 77058 USA	N/A	PC	Sponsor scholarships for Conrad to provide to students in special innovator category relating to ending smoking in this generation	4,500
25	Conrad Foundation	1120 NASA Parkway Suite 108, Houston TX 77058 USA	N/A	PC	Sponsor scholarships for Conrad to provide to students in special innovator category relating to ending smoking in this generation	10,500



	RECIPIENT NAME	RECIPIENT ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
26	Cornell University	Office of Sponsored Programs 373 Pine Tree Road, Ithaca NY 14850-2820 USA	N/A	PC	Econometric study of the role risk perceptions play in consumer demand and markets for THRPs	153,334
27	Cornell University	Office of Sponsored Programs 373 Pine Tree Road Ithaca, NY 14850-2820 USA	N/A	PC	An economic study of risk perceptions and consumer demand for harm reduction products	47,250
28	Council on Health Research for Development (USA), Inc.	1 Wood Road, Wilmington DE 19806 - 2021 USA	N/A	PC	Scoping work for development of long-term proposal for 'Strengthening national research system capacity in Low- and Middle-Income countries in support of tobacco control, health, equity and development'	178,200
29	ECLAT srl	University of Catania Torre Biologica Catania Sicily Italy	N/A	NC	Develop guidelines for quality tobacco / nicotine product research	88,551
30	Economic Policy Research Foundation Of Turkey (TEPAV)	Söğütözü, Söğütözü Cd. No:43 Ankara 06510 Turkey	N/A	NC	Economic analysis of tobacco, tobacco products, and their alternatives in Turkey and the Turkish Republic of Northern Cyprus	96,104
31	Embera Neuro Therapeutics	29 Babe Ruth Drive Sudbury, MA 01778 USA	N/A	NC	Manufacture material for Tobacco Use Disorder Study	104,210
32	Ernst & Young AG	Maagplatz 1, Zurich 8010 Switzerland	N/A	NC	Synthesize and formulate lessons learned from countries with ANDS availability which have seen drastic drops in number of smokers	971,235
33	Ernst & Young AG	Maagplatz 1, Zurich 8010 Switzerland	N/A	NC	Identification of observable smoker characteristics that are linked to cessation success	173,793
34	Etheim Biotics, LLC	34 Cessna Court Gaithersburg, MD 20879 USA	N/A	NC	Multi-regional study to examine the impact of smoking and vaping on the human microbiome	684,506
35	Euromonitor International Inc	60-61 Britton Street London EC1M 5UX United Kingdom	N/A	NC	Investigate the impact of the EU menthol ban and its potential to reduce the total consumption of combustible tobacco	346,456
36	Euromonitor International Inc	60-61 Britton Street London EC1M 5UX United Kingdom	N/A	NC	Tobacco Transformation Index process design, research and analysis, and reporting	1,506,957

	RECIPIENT NAME	RECIPIENT ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
37	Farmers Union of Malawi	P.O. Box 30457 Lilongwe 3 Malawi	N/A	NC	Agriculture recovery project, including opportunity for crop diversification to prepare for a time when there is a reduced demand for leaf tobacco	125,000
38	Foreign Policy Group	1750 Pennsylvania Ave NW Suite 200, Washington DC 20006 USA	N/A	NC	Researching the role of women in leading change in the tobacco industry, and others, through the "Women as Levers of Change" project	38,250
39	Hartford Foundation for Public Giving	4-CT Statewide COVID-19 Relief Fund 10 Columbus Boulevard, 8th Floor, Hartford CT 06106 USA	N/A	PC	Grant for charitable, humanitarian purposes	500,000
40	Healthy Initiatives	36 Shota Rustaveli, Apt 14, Kiev 01033 Ukraine	N/A	NC	Develop empirical evidence to help guide key stakeholders on the specific steps on ending smoking epidemic	99,162
41	Healthy Initiatives	36 Shota Rustaveli, Apt 14, Kiev 01033 Ukraine	N/A	NC	Evaluate the status and the gaps in Tobacco Control policies in Ukraine, the Russian Federation and number of developing Former Soviet countries in East and Central Asia (ECA) region	217,954
42	Institute for Human Development	Plot No. 84, Functional Industrial Estate (FIE) Patparganj Delhi 110092 India	N/A	NC	Study legal protections impacting Beedi workers in India	13,502
43	Institute of International Education, Inc.	One World Trade Center, 36th Floor, New York NY 10007 USA	N/A	PC	Sponsor tertiary scholarship opportunities for IIE to provide for students in Malawi to prepare for a time when there is less demand for tobacco leaf	522,780
44	International Network of Nicotine Consumer Organizations	Quai de l'Ile 13 CH-1204 Geneva Switzerland	N/A	NC	General support to INNCO to assist the organization in its work as an advocate for tobacco harm reduction	258,143
45	International Network of Nicotine Consumer Organizations	Quai de l'Ile 13 CH-1204 Geneva Switzerland	N/A	NC	General support to INNCO to assist the organization in its work as an advocate for tobacco harm reduction	134,862
46	International Network of Nicotine Consumer Organizations	Quai de l'Ile 13 CH-1204 Geneva Switzerland	N/A	NC	Support to INNCO to assist the organization in its work to garner consensus and support for COP9 to consider harm reduction as integral to tobacco control	65,000
47	International Rescue Committee	122 East 42 Street, New York NY 10168 USA	N/A	PC	Grant for charitable, humanitarian purposes	500,000

	RECIPIENT NAME	RECIPIENT ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
48	Just Managing Consulting	PO Box 3421, Matieland Stellenbosch 7602 South Africa	N/A	NC	Contribute to the development of a theory of change model for state-owned tobacco companies	29,100
49	Just Managing Consulting	PO Box 3421, Matieland Stellenbosch 7602 South Africa	N/A	NC	Report on government ownership in the tobacco industry, conflicts of interest, FCTC reporting, and public health policies	58,250
50	Knowledge Action Change Limited	8 Northumberland Avenue London WC2N 5BY United Kingdom	N/A	NC	Increase research capacity to understand, develop, and implement the science and evidence base relevant to THR	587,531
51	Knowledge Action Change Limited	8 Northumberland Avenue London WC2N 5BY United Kingdom	N/A	NC	Develop and disseminate Global State of Tobacco Harm Reduction report to increase awareness about national THR and cessation	349,660
52	Land O'Lakes Venture37	1725 DeSales Street, NW, Suite 800, Washington DC 20036 USA	N/A	NC	Establishment of a Center of Excellence for Agricultural Transformation in Malawi	1,263,876
53	Law Enforcement Action Partners (Filter Magazine)	The Influence Foundation, Inc. 447 Broadway, 2nd Floor, New York NY 10013 USA	N/A	POF	Build capacity to share stories that present facts about tobacco harm reduction and nicotine use to all stakeholders	90,000
54	Lega Italiana Anti Fumo LIAF	Via Siena 24 Catania 95128 Italy	N/A	NC	Grant for charitable, humanitarian purposes	50,000
55	Lumos Diagnostics Pty Ltd	2724 Loker Ave West, Carlsbad CA 92010 USA	N/A	NC	Development of a rapid point-of-care assay panel that can differentiate among the primary sources of nicotine to enable stronger correlations of nicotine sources with biomarkers of harm	459,492
56	Lung Foundation	MediCity - D6 Building 1 Thane Road Nottingham NG90 6BH United Kingdom	N/A	NC	Investigate the nexus of COVID19 and Nicotine use	164,989
57	Malawi Red Cross Society	PO Box 30096 Capital City Lilongwe Malawi	N/A	PC	Grant for charitable, humanitarian purposes	150,123
58	Merkos L'Inyononei Chinuch	via Benvenuto Cellini 2 Milano 20129 Italy	N/A	NC	Grant for charitable, humanitarian purposes	100,000
59	Metaform Ventures LLC	505 Cento Ct, Pleasanton CA 94566 USA	N/A	NC	Research regarding smokeless tobacco (SLT) products in India and development of standards for the chemical constituents of SLTs with a goal to ending smoking and minimizing harm caused by harmful and potentially harmful constituents of SLTs	841,625

	RECIPIENT NAME	RECIPIENT ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
60	Michigan State University (MSU)	427 North Shaw Lane Rm 100, East Lansing MI 48824 USA	N/A	GOV	Capacity building for acceleration of agricultural transformation to prepare Malawi for a time when there is less demand for leaf tobacco	1,000,000
61	National Smallholders Farmers Association of Malawi (NASFAM)	NASFAM House City Centre Lilongwe 3 Malawi	N/A	NC	Grant for charitable, humanitarian purposes	21,541
62	Oncimmune Plc	Clinical Sciences Building Hucknall Road Nottingham NG5 1PB United Kingdom	N/A	NC	Establishing a center and building capacity for its sustainability for the purpose of research and evaluation of innovative smoking cessation and harm reduction strategies to help smokers quit or switch to reduced risk products	139,720
63	ORG Architecten en Stadsontwerpers BVBA	Koolmijnenkaai 30-34, Brussels 1080 Belgium	N/A	NC	Design work for the Center for Agricultural Transformation in Malawi to serve as a hub for agricultural transformation and prepare for a time when there is less demand for leaf tobacco	55,048
64	Palladium Group Global	1331 Pennsylvania Avenue NW, Suite 600, Washington DC 20004-1751 USA	N/A	NC	Develop and manage investment program with the aim of assisting small holder farmers transition from tobacco crop and provide them with alternate livelihoods	1,026,256
65	Palladium International LLC	1331 Pennsylvania Avenue NW, Suite 600, Washington DC 20004-1751 USA	N/A	NC	Support agricultural productivity and diversification through better management of natural resources to prepare Malawi for a time when there is less demand for leaf tobacco	180,000
66	Prime Minister's Citizen Assistance and Relief in Emergency Situations (PM CARES) Fund	Prime Minister's Office South Block New Delhi 110011 India	N/A	GOV	Grant for charitable, humanitarian purposes	15,000
67	QBal (Quality Belligerence)	Office 7, 3rd Floor, Al-Ghaffar Mall, G-11 Markaz Islamabad 44000 Pakistan	N/A	NC	Building an economic argument for tobacco harm reduction as one route to cessation in Pakistan	119,732

	RECIPIENT NAME	RECIPIENT ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
68	Rose Research Center, LLC	7240 ACC Blvd, Raleigh NC 27617 USA	N/A	NC	Operationalization of a Translational Research Center for the evaluation of innovative smoking cessation and harm reduction strategies to help smokers quit or switch to reduced risk products	1,189,258
69	Strategic Impact Advisors	6511 Griffith Road, Laytonsville MD 20882 USA	N/A	NC	Educate smallholder tobacco farmers about financial services as part of the effort to prepare them for a time when there is less demand for leaf tobacco	124,939
70	SustainAbility Inc.	81 Prospect Street, Brooklyn NY 11201 USA	N/A	NC	Tobacco Transformation Index stakeholder engagement, development and facilitation of Advisory Panel, and post-publication project review	1,486,134
71	Thanthwe Holdings Limited	Chitipi 6/1/53 P.O. Box 1215 Lilongwe Malawi	N/A	NC	Contribute to the expansion of protected cultivation in Malawi and neighboring countries	240,600
72	VIDA News LLC	1305 N 19th ST, Milwaukee WI 53205 USA	N/A	PC	Development of a professional media hub to improve global communications around tobacco harm reduction	677,711
73	Yale University	493 College Street, New Haven CT 06511 USA	N/A	PC	Global review of tobacco cessation and harm reduction science and research, with a goal toward addressing research on needs of adult smokers in the Global South	600,000
74	Yale University	493 College Street, New Haven CT 06511 USA	N/A	PC	Global review of tobacco cessation and harm reduction science	62,969
75	Yayasan Pena Bulu	Jl. Rawabambu I D No. 6 Pasar Minggu Jakarta 12520 Indonesia	N/A	NC	Scoping study to analyze the economic cost and health burden associated with tobacco morbidity and mortality with the goal of ending the Indonesian smoking epidemic	68,000
76	Zodiak Broadcasting Station Limited	P/Bag 312 Capital City Malawi	N/A	NC	Grant for charitable, humanitarian purposes	42,843

TOTAL CONTRIBUTIONS PAID

25,471,889

	RECIPIENT NAME	RECIPIENT ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
1	Agenome LLC	Yolee Grande, 14, 2nd Floor Pottery Road, Richards Town Frazer Town Bangalore 06107 India	N/A	NC	Assess cancer risk of smokers through DNA and RNA research and creation of genome database with an aim to encourage smokers to quit or transition to reduced risk products	67,000
2	Alternative Research Initiative	Office # 31, 1st Floor Al-Anayat Mall Islamabad Pakistan	N/A	NC	Garner consensus and support for COP9 to consider harm reduction as integral to tobacco control	194,600
3	Analytisch-Biologisches Forschungslabor Gmbh	Semmelweisstrasse 5 Planegg 82152 Germany	N/A	NC	Identification of biomarkers and/or patterns of biomarkers that properly distinguish among nicotine product use groups for the development of a prototype diagnostic tool to be used in interventions to help smokers quit or switch to a reduced risk product	292,156
4	Asia Public History Foundation Inc	26 Everett St, Cambridge MA 02138 USA	N/A	PC	Study of tobacco sector in India	5,959
5	Asociación Argentina de Servicios y Estudios Médicos de Avanzada	ESTOMBA 1710- CABA Argentina	N/A	NC	Garner consensus and support for COP9 to consider harm reduction as integral to tobacco control	175,000
6	Asociación Argentina de Servicios y Estudios Médicos de Avanzada	ESTOMBA 1710- CABA Argentina	N/A	NC	Garner consensus and support for COP9 to consider harm reduction as integral to tobacco control	55,222
7	Behavioral Diagnostics, LLC	2500 Crosspark Road, Coralville IA 52241 USA	N/A	NC	Development of a kit for the detection and quantification of tobacco and other nicotine product use	65,216
8	Centre for Health Research and Education Limited	16 Guildford Drive Chandlers Ford Eastleigh Hampshire SO53 3PT United Kingdom	N/A	NC	Capacity building to reduce tobacco-related death and disease in India	3,797,877
9	Centre of Research Excellence on Indigenous Sovereignty & Smoking	109 Carlisle Road Torbay Auckland 0632 New Zealand	N/A	NC	Establishing a global Centre of Excellence (CoE) for research on smoking cessation and harm reduction in indigenous people and marginalized communities	3,160,081
10	Conrad Foundation	1120 NASA Parkway Suite 108, Houston TX 77058 USA	N/A	PC	Sponsor scholarships for Conrad to provide to students in special innovator category relating to ending smoking in this generation	100,000

	RECIPIENT NAME	RECIPIENT ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
11	Conrad Foundation	1120 NASA Parkway Suite 108, Houston TX 77058 USA	N/A	PC	Sponsor scholarships for Conrad to provide to students in special innovator category relating to ending smoking in this generation	75,000
12	Cornell University	Office of Sponsored Programs 373 Pine Tree Road, Ithaca NY 14850- 2820 USA	N/A	PC	Develop empirical evidence to help provide education around public policies to end smoking in this generation	2,638,793
13	Cornell University	Office of Sponsored Programs 373 Pine Tree Road, Ithaca NY 14850- 2820 USA	N/A	PC	Econometric study of the role risk perceptions play in consumer demand and markets for THRPs	46,666
14	Cornell University	Office of Sponsored Programs 373 Pine Tree Road, Ithaca NY 14850- 2820 USA	N/A	PC	An economic study of risk perceptions and consumer demand for harm reduction products	5,250
15	ECLAT srl	University of Catania Torre Biologica Catania Sicily Italy	N/A	NC	Develop guidelines for quality tobacco / nicotine product research	100,000
16	ECLAT srl	University of Catania Torre Biologica Catania Sicily Italy	N/A	NC	Establishment of a Center of Excellence for the Acceleration of Harm Reduction	7,212,067
17	ECLAT srl	University of Catania Torre Biologica Catania Sicily Italy	N/A	NC	Bridge the gaps and build accountability in media communications around tobacco harm reduction science	84,248
18	Economic Policy Research Foundation Of Turkey (TEPAV)	Söğütözü, Söğütözü Cd. No:43 Ankara 06510 Turkey	N/A	NC	Expand on and disseminate findings of scoping work around economic tobacco research	478,834
19	Euromonitor International Inc	60-61 Britton Street London ECLM 5UX United Kingdom	N/A	NC	Tobacco Transformation Index process design, research and analysis, and reporting	3,018,752
20	Healthy Initiatives	36 Shota Rustaveli, Apt 14 Kiev 01033 Ukraine	N/A	NC	Develop empirical evidence to help guide key stakeholders on the specific steps on ending smoking epidemic	599,375
21	Institute for Human Development	Plot No. 84, Functional Industrial Estate (FIE) Patparganj Delhi 110092 India	N/A	NC	Study legal protections impacting Beedi workers in India	13,500
22	Institute of International Education, Inc.	One World Trade Center, 36th Floor, New York NY 10007 USA	N/A	PC	Sponsor tertiary scholarship opportunities for IIE to provide for students in Malawi to prepare for a time when there is less demand for tobacco leaf	1,915,740
23	International Network of Nicotine Consumer Organizations	Quai de l'Île 13 CH-1204 Geneva Switzerland	N/A	NC	General support to INNCO to assist the organization in its work as an advocate for tobacco harm reduction	602,332

	RECIPIENT NAME	RECIPIENT ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
24	International Network of Nicotine Consumer Organizations	Quai de l'Ile 13 CH-1204 Geneva Switzerland	N/A	NC	Support to INNCO to assist the organization in its work to garner consensus and support for COP9 to consider harm reduction as integral to tobacco control	65,000
25	Just Managing Consulting	PO Box 3421, Matieland Stellenbosch 7602 South Africa	N/A	NC	Contribute to the development of a theory of change model for state-owned tobacco companies	67,900
26	Knowledge Action Change Limited	8 Northumberland Avenue London WC2N 5BY United Kingdom	N/A	NC	Develop and disseminate Global State of Tobacco Harm Reduction report to increase awareness about national THR and cessation	2,806,069
27	Knowledge Action Change Limited	8 Northumberland Avenue London WC2N 5BY United Kingdom	N/A	NC	Increase research capacity to understand, develop, and implement the science and evidence base relevant to THR	1,582,248
28	Land O'Lakes Venture37	1725 DeSales Street, NW, Suite 800, Washington DC 20036 USA	N/A	NC	Establishment of a Center of Excellence for Agricultural Transformation in Malawi	7,166,124
29	Lumos Diagnostics Pty Ltd	2724 Loker Ave West, Carlsbad CA 92010 USA	N/A	NC	Development of a rapid point-of-care assay panel that can differentiate among the primary sources of nicotine to enable stronger correlations of nicotine sources with biomarkers of harm	378,470
30	Lung Foundation	MediCity - D6 Building 1 Thane Road Nottingham NG90 6BH United Kingdom	N/A	NC	Investigate the nexus of COVID19 and nicotine use	18,332
31	Metaform Ventures LLC	505 Cento Ct, Pleasanton CA 94566 USA	N/A	NC	Research regarding smokeless tobacco (SLT) products in India and development of standards for the chemical constituents of SLTs with a goal to ending smoking and minimizing harm caused by harmful and potentially harmful constituents of SLTs	200,000
32	Michigan State University (MSU)	427 North Shaw Lane Rm 100, East Lansing MI 48824 USA	N/A	GOV	Capacity building for acceleration of agricultural transformation to prepare Malawi for a time when there is less demand for leaf tobacco	3,950,000
33	Opportunity International, Inc.	550 W Van Buren Suite 200, Chicago IL 60607 USA	N/A	PC	Develop innovative financial products to help foster agricultural transformation in Malawi	63,139



	RECIPIENT NAME	RECIPIENT ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
34	Palladium International LLC	1331 Pennsylvania Avenue NW Suite 600, Washington DC 20004 USA	N/A	NC	Support agricultural productivity and diversification through better management of natural resources to prepare Malawi for a time when there is less demand for leaf tobacco	19,999
35	Rose Research Center, LLC	7240 ACC Blvd, Raleigh NC 27617 USA	N/A	NC	Examine the acceptability and outcome of a harm reduction approach to tobacco use for individuals with serious behavioral health disorders and determine the association with decrease in smoking	1,668,747
36	Rose Research Center, LLC	7240 ACC Blvd, Raleigh NC 27617 USA	N/A	NC	Operationalization of a Translational Research Center for the evaluation of innovative smoking cessation and harm reduction strategies to help smokers quit or switch to reduced risk products	5,398,077
37	Strategic Impact Advisors	6511 Griffith Road, Laytonsville MD 20882 USA	N/A	NC	Educate smallholder tobacco farmers about financial services as part of the effort to prepare them for a time when there is less demand for leaf tobacco	17,848
38	Synergeia Foundation, Inc	Units E-F, 131 V. Luna Extension corner Maginhawa Street Sikatuna Village, Quezon City 1101 Philippines	N/A	PC	Assess results of the tobacco cessation program of government in Philippines relative to its objectives and conduct an exploratory study of the market and policy environment for non-tobacco products	85,000
39	Thanthwe Holdings Limited	Chitipi 6/1/53 P.O. Box 1215 Lilongwe Malawi	N/A	NC	Contribute to the expansion of protected cultivation in Malawi and neighboring countries	10,000
40	Yale University	493 College Street, New Haven CT 06511 USA	N/A	PC	Explore the relationship between COVID-19 and discourses around tobacco products, including e-cigarettes, acknowledging that information about tobacco use (and harm reduction products) during the pandemic comes from varying sources	136,697

	RECIPIENT NAME	RECIPIENT ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
41	Yale University	493 College Street, New Haven CT 06511 USA	N/A	PC	Global review of tobacco cessation and harm reduction science	20,989
42	Yayasan Pena Bulu	Jl. Rawabambu I D No. 6 Pasar Minggu Jakarta 12520 Indonesia	N/A	NC	Scoping study to analyze the economic cost and health burden associated with tobacco morbidity and mortality with the goal of ending the Indonesian smoking epidemic	17,000

TOTAL CONTRIBUTIONS APPROVED

48,375,308

FORM 990PF, PARTS I, LINE 19 - DEPRECIATION

ATTACHMENT 18

<u>ASSET DESCRIPTION</u>	<u>Purchase Amount</u>	<u>Depreciation Expense</u>	<u>Accumulated Depreciation</u>	<u>2020 Ending Book Value</u>
EQUIP. & FURNITURE	415,838	42,705	61,856	353,982
SOFTWARE PLATFORM	2,385,484	694,645	919,482	1,466,002
TOTAL	<u>2,801,322</u>	<u>737,351</u>	<u>981,338</u>	<u>1,819,984</u>

**990PF, PART IX - SUMMARY OF DIRECT CHARITABLE ACTIVITIES****ATTACHMENT 19**

**THE FOUNDATION FOR A SMOKE-FREE WORLD** ("FOUNDATION") WAS CREATED IN 2017 WITH THE PURPOSE OF IMPROVING GLOBAL HEALTH BY ENDING SMOKING IN THIS GENERATION.

DURING ITS THIRD FULL YEAR OF OPERATION, 2020, THE FOUNDATION BUILT ON ITS ACHIEVEMENTS AND CONTINUED PROGRESS TOWARD REACHING AND SUSTAINING ITS GOAL. THE FOUNDATION'S PROJECTS ADDRESS EACH OF ITS THREE CORE PILLARS:

- **HEALTH, SCIENCE, AND TECHNOLOGY:** THE FOUNDATION SEEKS TO SUPPORT AN ACCELERATION OF ADULT QUITTING AND SWITCHING TO TOBACCO HARM REDUCTION PRODUCTS THROUGH RESEARCH, ADVOCACY, AND EDUCATION. RESEARCH AIMS TO: UNDERSTAND THE MOTIVATIONS OF INDIVIDUAL SMOKERS AND BARRIERS TO QUITTING; ASSESS THE EFFECTIVENESS AND SAFETY OF CESSATION AND TOBACCO HARM REDUCTION; DEVELOP MORE EFFECTIVE INTERVENTIONS (INCLUDING REGULATORY POLICIES); AND IDENTIFY BETTER BIOMARKERS OF EXPOSURE AND OUTCOMES. THE FOUNDATION FOCUSES ON BUILDING CAPACITY FOR RESEARCH TARGETING LOW- AND MIDDLE-INCOME COUNTRIES, WHERE MOST SMOKERS LIVE AND WHERE FUNDING FOR TOBACCO CONTROL RESEARCH REMAINS LACKING. ADDITIONALLY, THE FOUNDATION SUPPORTS THE DEVELOPMENT OF INTERACTIVE DIGITAL PLATFORMS TO OFFER RESEARCHERS AND POLICY MAKERS INSIGHTS RELATED TO PUBLIC PERCEPTIONS, SCIENTIFIC OUTPUT, AND PATENTS RELATED TO CESSATION AND TOBACCO HARM REDUCTION.
- **AGRICULTURE TRANSFORMATION:** THE FOUNDATION IS PREPARING FOR A FUTURE OF REDUCED TOBACCO DEMAND. ITS GOAL IS TO MAKE THE AGRICULTURE SECTOR GLOBALLY MORE COMPETITIVE BY WORKING WITH SMALLHOLDER TOBACCO FARMERS TOWARD THE DEVELOPMENT OF NEW BUSINESS MODELS THAT CREATE VALUE FOR PARTICIPANTS CURRENTLY DEPENDENT ON THE TOBACCO SUPPLY CHAIN. THIS WORK HAS STARTED IN MALAWI. TO ACHIEVE ITS MISSION, THE FOUNDATION IS PARTNERING WITH THE PRIVATE SECTOR, SMALLHOLDER FARMER ORGANIZATIONS, GOVERNMENT, LEADING NATIONAL AND INTERNATIONAL AGRICULTURAL RESEARCH GROUPS, AND FINANCIAL STAKEHOLDERS. IN COLLABORATION WITH THESE GROUPS, THE FOUNDATION AIMS TO CATALYZE INVESTMENT, DEVELOP AND STRENGTHEN EXTENSION SERVICES BASED ON AGRO-SCIENCE, AND PROMOTE ENTREPRENEURSHIP TO SUPPORT TOBACCO FARMERS IN THEIR TRANSITION TO ALTERNATIVE CROPS AND LIVELIHOODS.
- **INDUSTRY TRANSFORMATION:** THE FOUNDATION'S INDUSTRY TRANSFORMATION EFFORTS FOCUS ON MONITORING AND PROMOTING CHANGE ACROSS THE GLOBAL TOBACCO AND NICOTINE ECOSYSTEM, WITH THE GOAL OF ENDING COMBUSTIBLE USE. THE TOBACCO TRANSFORMATION INDEX, WHICH IS THE FIRST ACTION OF THE FOUNDATION'S INDUSTRY TRANSFORMATION INITIATIVE, PROVIDES OBJECTIVE DATA ON WHETHER COMPANIES ARE TRANSFORMING THEIR CORE BUSINESS MODELS TO ACCELERATE THE REDUCTION OF HARM CAUSED BY TOBACCO

USE. THE INDEX RANKS THE WORLD'S 15 LARGEST TOBACCO COMPANIES ON THEIR RELATIVE PROGRESS TOWARD HARM REDUCTION.

EMBEDDED IN ALL OF THESE PRINCIPLES AND PROJECTS IS THE FOUNDATION'S COMMITMENT TO GENDER EQUALITY AND THE APPLICATION OF A COMPREHENSIVE GENDER PERSPECTIVE.

ARTICLE THIRD OF THE FOUNDATION'S CERTIFICATE OF INCORPORATION SPECIFIES USE OF ASSETS OR INCOME TOWARD SEVEN SETS OF ACTIVITIES. THE FOUNDATION IS DEMONSTRATING PROGRESS IN SIX OF THE SEVEN SMOKE-FREE PURPOSES: HEALTH, SCIENCE, AND TECHNOLOGY ADDRESSES SMOKE-FREE PURPOSES (I), (II), (III), AND (VII); AGRICULTURE TRANSFORMATION ADDRESSES SMOKE-FREE PURPOSE (V); INDUSTRY TRANSFORMATION ADDRESSES SMOKE-FREE PURPOSE (IV); AND SMOKE-FREE PURPOSE (VI), RELATED TO ENVIRONMENTAL ISSUES, WILL BE ADDRESSED AT A LATER DATE.

DURING 2020, THE FOUNDATION DISTRIBUTED GRANT PAYMENTS TOTALING \$25.5 MILLION IN SUPPORT OF ITS THREE CORE PILLARS AND PURPOSES. THE FOUNDATION HAS COMMITTED TO MORE THAN \$120 MILLION IN CONDITIONAL GRANTS THROUGH 2024 AND WILL CONTINUE TO ADD TO THOSE COMMITMENTS OVER TIME. FOR ADDITIONAL INFORMATION ABOUT THE FOUNDATION'S CHARITABLE ACCOMPLISHMENTS IN 2020, PLEASE REVIEW ITS ANNUAL REPORT, WHICH CAN BE FOUND AT <HTTPS://WWW.SMOKEFREEWORLD.ORG/ANNUAL-REPORTS>.

**DIRECT CHARITABLE ACTIVITIES IN 2020** SUPPORTED EACH OF THE THREE MAIN AREAS OF THE FOUNDATION'S STRATEGIC PLAN. EACH STRATEGY MAY FUND GRANTS AS WELL AS INCUR EXPENSES:

- **HEALTH, SCIENCE, AND TECHNOLOGY: (EXPENSES OF \$17,693,441, INCLUDING GRANT EXPENDITURES OF \$11,966,470).**
- **AGRICULTURE TRANSFORMATION: (EXPENSES OF \$8,518,160, INCLUDING GRANT EXPENDITURES OF \$4,538,499)**
- **INDUSTRY TRANSFORMATION: (EXPENSES OF \$3,459,954, INCLUDING GRANT EXPENDITURES OF \$2,938,712)**

IN CONCERT WITH ITS RESEARCH INITIATIVES, THE FOUNDATION FUNDED CHARITABLE ACTIVITIES IN 2020 TO ENHANCE COMMUNICATIONS AND EDUCATION RELATED TO ENDING SMOKING. THESE ACTIVITIES ALSO AIMED TO ASSESS POLICIES THAT REFLECT THE RELATIVE RISK OF TOBACCO AND NICOTINE PRODUCTS (**EXPENSES OF \$6,268,654, INCLUDING GRANT EXPENDITURES OF \$3,761,811**).

IN ADDITION, GRANTS FOR CHARITABLE PURPOSES WERE MADE TO PROVIDE HUMANITARIAN ASSISTANCE IN LIGHT OF THE COVID-19 PANDEMIC (**EXPENSES OF \$2,134,982, INCLUDING GRANT EXPENDITURES OF \$2,129,507**).

TOTAL DIRECT CHARITABLE ACTIVITIES ACROSS THE FOUNDATION'S PROGRAMS TOTALED \$38.1 MILLION IN 2020.

ONE OF THE GAPS IN TOBACCO CONTROL THAT THE FOUNDATION ADDRESSES IS IMPROVING PUBLIC AWARENESS OF THE DRIVERS OF SMOKING HARM AND THE AVAILABILITY OF ALTERNATIVES. THE FOUNDATION'S GOAL IN LEVERAGING PUBLIC RELATIONS SUPPORT IS TO EDUCATE THE PUBLIC ABOUT THE NEED FOR COLLABORATION, INNOVATION, AND TOOLS THAT CAN HELP SMOKERS QUIT OR REDUCE THEIR RISK.

IN 2020, THE FOUNDATION'S PUBLIC RELATIONS EFFORTS SUPPORTED THE DISSEMINATION OF THE RESEARCH RESULTS FROM ITS HEALTH, SCIENCE, AND TECHNOLOGY GRANTEES AND RESEARCHERS. THE FOUNDATION USED ITS DIGITAL CHANNELS TO DRIVE AWARENESS OF KEY GLOBAL STATISTICS AND REPORTS ON SMOKING BEHAVIORS, HARM REDUCTION, AND SMOKING CESSATION. AS THE AGRICULTURE TRANSFORMATION WORK IN MALAWI MOVED INTO ITS THIRD YEAR, PUBLIC RELATIONS AND COMMUNICATIONS ON SOCIAL CHANNELS RAISED AWARENESS OF THE ISSUES FACING SMALLHOLDER TOBACCO FARMERS. 2020 COMMUNICATIONS EFFORTS RELATED TO INDUSTRY TRANSFORMATION FOCUSED ON THE LAUNCH OF THE FIRST TOBACCO TRANSFORMATION INDEX.

THE BREAKDOWN OF COMMUNICATIONS EXPENSES IN 2020 ACROSS THE FOUNDATION'S STRATEGIES IS ESTIMATED AS FOLLOWS: HEALTH, SCIENCE, AND TECHNOLOGY, 70%; AGRICULTURE TRANSFORMATION, 5%; INDUSTRY TRANSFORMATION, 15%; GENERAL EDUCATION & AWARENESS, 10%. **(EXPENSES OF \$3,346,332)**

**EXAMPLES OF PARTICULAR PROJECTS WITHIN THE DIRECT CHARITABLE ACTIVITIES CLASSIFICATION FOR 2020 INCLUDE:**

NICOTINE ECOSYSTEM DATA PLATFORM. CUSTOMIZED, DATA DRIVEN INTELLIGENCE PLATFORM DEVELOPED FOR THE FOUNDATION TO IDENTIFY, INVESTIGATE, AND TRACK SIGNALS, TRENDS, ASSETS, AND OPPORTUNITIES IN THE AREAS OF NICOTINE, SMOKING CESSATION, AND HARM REDUCTION. THE PLATFORM IS USED BY THE FOUNDATION AND ITS GRANTEES TO DRIVE THE RESEARCH AGENDA ACROSS A RANGE OF APPLICABLE TOPICS BASED ON THE DATA COLLECTED, ORGANIZED, AND PRESENTED TO THE END USER. A SECOND PHASE OF THE PROGRAM ESTABLISHED AN EARLY WARNING SYSTEM TO ALERT, CORRELATE, AND ANALYZE SYMPTOMS AND ADVERSE EVENTS RELATED TO VAPING. **(AMOUNTS PAID TO ACQUIRE ASSETS AND EXPENSES: \$2,035,000)**

THE FOUNDATION CONTRACTED WITH SEVERAL ORGANIZATIONS TO CONDUCT AND DOCUMENT RESEARCH IN SUPPORT OF THE FOUNDATION'S CHARITABLE PURPOSES IN THE AREAS OF HEALTH, SCIENCE, AND TECHNOLOGY, AGRICULTURE TRANSFORMATION, AND INDUSTRY TRANSFORMATION. PROJECTS INCLUDE: COVID-19 STATE OF SMOKING POLL; WOMEN AS LEVERS OF CHANGE IN MALE-DOMINATED INDUSTRIES, INCLUDING TOBACCO; REVIEW OF VIABLE VALUE CHAINS IN MALAWI, INCLUDING THE PERSPECTIVE OF GENDER AND INCLUSIVE VALUE CHAINS; INDIA'S WOMEN BEEDI ROLLERS AND ALTERNATIVE LIVELIHOOD OPTIONS; REPORTS ON DEVELOPMENTS IN AND ECONOMICS OF TOBACCO HARM REDUCTION; REVIEW OF SOCIO-ECONOMIC AND POLICY CONDITIONS THAT INCENTIVIZE FARMERS TO DIVERSIFY FROM TOBACCO; AND SUMMARY OF EXPERT

CONTRIBUTIONS ON REGULATORY ISSUES, TAXATION, AND OTHER PERSPECTIVES  
IN TOBACCO HARM REDUCTION. **(EXPENSES: \$724,348)**

THE FOUNDATION EMPLOYED ORGANIZATIONS TO DESIGN, DEVELOP, AND TRANSLATE  
ITS DISSEMINATION PLATFORMS, INCLUDING WEBSITES ASSOCIATED WITH THE  
FOUNDATION FOR A SMOKE-FREE WORLD, TOBACCO TRANSFORMATION INDEX, AND  
UNDERSTANDING NICOTINE. **(EXPENSES \$644,056)**