

Form **990**

Department of the Treasury
Internal Revenue Service

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

- ▶ Do not enter Social Security numbers on this form as it may be made public.
- ▶ Information about Form 990 and its instructions is at www.irs.gov/form990.

OMB No. 1545-0047

2019

Open to Public Inspection

A For the 2019 calendar year, or tax year beginning 10/01, 2019, and ending 09/30, 2020


B Check if applicable: <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	C Name of organization <u>INSTITUTE FOR EASTWEST STUDIES, INC.</u>			D Employer identification number <u>13-3091844</u>
	Doing Business As <u>EASTWEST INSTITUTE</u>			E Telephone number <u>(212) 824-4100</u>
	Number and street (or P.O. box if mail is not delivered to street address) <u>155 EAST 44TH STREET</u>		Room/suite <u>1105</u>	G Gross receipts \$ <u>12,108,619.</u>
	City or town, state or province, country, and ZIP or foreign postal code <u>NEW YORK, NY 10017</u>			
F Name and address of principal officer: <u>BRUCE MCCONNELL</u> <u>155 E. 44TH STREET, SUITE 1105, NEW YORK, NY 10017</u>				H(a) Is this a group return for subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No H(b) Are all subordinates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list. (see instructions)
I Tax-exempt status: <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) () ◀ (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527				H(c) Group exemption number ▶
J Website: ▶ <u>WWW.EASTWEST.NGO</u>				
K Form of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶			L Year of formation: <u>1981</u>	M State of legal domicile: <u>NY</u>

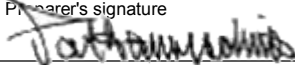
Part I Summary

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: <u>EASTWEST INSTITUTE (EWI) WORKS TO REDUCE INTERNATIONAL CONFLICT, ADDRESSING SEEMINGLY INTRACTABLE PROBLEMS THAT THREATEN WORLD SECURITY AND STABILITY. (CONTINUED ON SCHEDULE O)</u>		
	2 Check this box <input checked="" type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	3 Number of voting members of the governing body (Part VI, line 1a)	3	34.
	4 Number of independent voting members of the governing body (Part VI, line 1b)	4	32.
	5 Total number of individuals employed in calendar year 2019 (Part V, line 2a)	5	29.
	6 Total number of volunteers (estimate if necessary)	6	78.
	7a Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
b Net unrelated business taxable income from Form 990-T, line 34	7b	0.	
Revenue	8 Contributions and grants (Part VIII, line 1h)	Prior Year 5,093,173.	Current Year 2,035,711.
	9 Program service revenue (Part VIII, line 2g)	0.	0.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	636,274.	1,681,037.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	300,468.	260,494.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	6,029,915.	3,977,242.
	Expenses	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)	0.
14 Benefits paid to or for members (Part IX, column (A), line 4)		0.	0.
15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)		4,773,047.	4,413,111.
16a Professional fundraising fees (Part IX, column (A), line 11e)		0.	0.
b Total fundraising expenses (Part IX, column (D), line 25) ▶ <u>383,665.</u>			
17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)		2,860,173.	1,644,078.
18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	7,633,220.	6,057,189.	
19 Revenue less expenses. Subtract line 18 from line 12	-1,603,305.	-2,079,947.	
Net Assets or Fund Balances	20 Total assets (Part X, line 16)	Beginning of Current Year 12,184,620.	End of Year 9,008,890.
	21 Total liabilities (Part X, line 26)	998,989.	8,334,086.
	22 Net assets or fund balances. Subtract line 21 from line 20	11,185,631.	674,804.

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here		<u>3/5/2021</u>
	Signature of officer	Date
	Bruce McConnell - President and CEO	
	Type or print name and title	

Paid Preparer Use Only	Print/Type preparer's name <u>PAUL HAMMERSCHMIDT</u>	Preparer's signature 	Date <u>3/4/2021</u>	Check <input type="checkbox"/> if self-employed	PTIN <u>P01384178</u>
	Firm's name ▶ <u>BDO USA, LLP</u>	Firm's EIN ▶ <u>13-5381590</u>		Phone no. <u>212-885-8000</u>	
	Firm's address ▶ <u>100 PARK AVENUE, NEW YORK, NY 10017-5001</u>				

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

For Paperwork Reduction Act Notice, see the separate instructions.

Form **990** (2019)

Part III Statement of Program Service Accomplishments

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

1 Briefly describe the organization's mission:

SEE SCHEDULE O

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

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

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

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

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

4a (Code:) (Expenses \$ 1,129,016. including grants of \$ 0.) (Revenue \$ 0.)

NETWORKING & COMMUNICATIONS - THE ORGANIZATION'S NETWORKING AND COMMUNICATIONS IS AN ESSENTIAL LINK BETWEEN IDEAS AND POLICY. THE COMMUNICATIONS DEPARTMENT WORKS TO DISSEMINATE THE ORGANIZATION'S COMMENTARIES, PUBLICATIONS AND OTHER INNOVATIONS TO POLICYMAKERS AND OPINION LEADERS AROUND THE WORLD. IT WORKS WITH NEW AND TRADITIONAL MEDIA CHANNELS TO ENSURE THAT ITS IDEAS REACH AND ENGAGE DECISION MAKERS AND HELP FORGE COLLECTIVE ACTION FOR A SAFER AND BETTER WORLD.

4b (Code:) (Expenses \$ 828,121. including grants of \$ 0.) (Revenue \$ 0.)

CYBER SECURITY INITIATIVE - SEE SCHEDULE O

4c (Code:) (Expenses \$ 759,194. including grants of \$ 0.) (Revenue \$ 0.)

ASIA PACIFIC - SEE SCHEDULE O

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

(Expenses \$ 1,402,955. including grants of \$ 0.) (Revenue \$ 260,494.)

4e Total program service expenses 4,119,286.

Part IV Checklist of Required Schedules

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

Part IV Checklist of Required Schedules (continued)

Table with 3 columns: Question, Yes, No. Rows 22-38 covering various organizational requirements and schedules.

Part V Statements Regarding Other IRS Filings and Tax Compliance

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

Table with 3 columns: Question, Yes, No. Rows 1a-1c regarding Form 1096, Forms W-2G, and backup withholding rules.

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

		Yes	No
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return. 2a 29		
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? Note: If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)	X	
3a	Did the organization have unrelated business gross income of \$1,000 or more during the year?		X
b	If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation on Schedule O		
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? . .	X	
b	If "Yes," enter the name of the foreign country ► <u>ATTACHMENT 1</u> See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).		
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?		X
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?		X
c	If "Yes" to line 5a or 5b, did the organization file Form 8886-T?		
6a	Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?		X
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?		
7	Organizations that may receive deductible contributions under section 170(c).		
a	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?	X	
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?	X	
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?		X
d	If "Yes," indicate the number of Forms 8282 filed during the year 7d		
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		X
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		X
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?		
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C? .		
8	Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?		
9	Sponsoring organizations maintaining donor advised funds.		
a	Did the sponsoring organization make any taxable distributions under section 4966?		
b	Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?		
10	Section 501(c)(7) organizations. Enter:		
a	Initiation fees and capital contributions included on Part VIII, line 12 10a		
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities 10b		
11	Section 501(c)(12) organizations. Enter:		
a	Gross income from members or shareholders 11a		
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.) 11b		
12a	Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?		
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year 12b		
13	Section 501(c)(29) qualified nonprofit health insurance issuers.		
a	Is the organization licensed to issue qualified health plans in more than one state? Note: See the instructions for additional information the organization must report on Schedule O.		
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans 13b		
c	Enter the amount of reserves on hand 13c		
14a	Did the organization receive any payments for indoor tanning services during the tax year?		X
b	If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation on Schedule O		
15	Is the organization 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? If "Yes," see instructions and file Form 4720, Schedule N.		X
16	Is the organization an educational institution subject to the section 4968 excise tax on net investment income? If "Yes," complete Form 4720, Schedule O.		X

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

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

Section A. Governing Body and Management

Table with 3 columns: Question, Yes, No. Rows include 1a (34), 1b (32), 2 (X), 3 (X), 4 (X), 5 (X), 6 (X), 7a (X), 7b (X), 8a (X), 8b (X), 9 (X).

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

Table with 3 columns: Question, Yes, No. Rows include 10a (X), 10b (X), 11a (X), 12a (X), 12b (X), 12c (X), 13 (X), 14 (X), 15a (X), 15b (X), 16a (X), 16b (X).

Section C. Disclosure

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

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

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

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

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

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations. See instructions for the order in which to list the persons above.

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

(A) Name and title	(B) Average hours per week per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) CAMERON MUNTER (THRU 6/19) FORMER PRESIDENT AND CEO	40.00 0.						X	430,265.	0.	17,712.
(2) BRUCE MCCONNELL PRESIDENT AND CEO (EFF. 7/20)	40.00 0.	X		X				354,270.	0.	18,730.
(3) WILLIAM J. PARKER III PRESIDENT AND CEO (THRU 7/20)	40.00 0.			X				230,488.	0.	14,939.
(4) INGO DEAN DIRECTOR, IT	40.00 0.					X		169,160.	0.	28,222.
(5) CONRAD JARZEBOWSKI (THRU 12/19) VP, COMMUNICATIONS	40.00 0.			X				158,150.	0.	26,989.
(6) ANDREW YU CONTROLLER	40.00 0.					X		140,643.	0.	34,957.
(7) DANIELA KAISTH VP, DEVELOPMENT	40.00 0.			X				141,359.	0.	25,513.
(8) OLIVER SENFT DIRECTOR, HR	40.00 0.					X		134,366.	0.	17,176.
(9) CHRISTOPHER BUSH DIRECTOR, PROGRAM	40.00 0.					X		110,842.	0.	22,066.
(10) KAWA HASSAN VP, PROGRAM	40.00 0.			X				106,344.	0.	0.
(11) WOLFGANG KLAPPER VP, REGIONAL SECURITY PROGRAM	40.00 0.			X				84,238.	0.	0.
(12) ROSS PEROT, JR. CHAIRMAN	1.00 0.	X		X				0.	0.	0.
(13) R. WILLIAM IDE, III COUNSEL/SEC/CHAIR OF EXEC COMM	1.00 0.	X		X				0.	0.	0.
(14) PETER ALTABEF (THRU 9/20) BOARD MEMBER	.25 0.	X						0.	0.	0.

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

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
15) TEWODROS ASHENAFI BOARD MEMBER	.25 0.	X					0.	0.	0.	
16) MARK JOSEPH BILD BOARD MEMBER	.25 0.	X					0.	0.	0.	
17) MARY MCINNIS BOIES BOARD MEMBER	1.00 0.	X					0.	0.	0.	
18) SIR PETER BONFIELD BOARD MEMBER	.25 0.	X					0.	0.	0.	
19) MATT BROSS BOARD MEMBER	.25 0.	X					0.	0.	0.	
20) ROBERT CAMPBELL III BOARD MEMBER	1.00 0.	X					0.	0.	0.	
21) MICHAEL CHERTOFF (THRU 9/20) BOARD MEMBER	.25 0.	X					0.	0.	0.	
22) DAVID COHEN BOARD MEMBER	.25 0.	X					0.	0.	0.	
23) ROGER COHEN BOARD MEMBER	.25 0.	X					0.	0.	0.	
24) JOEL COWAN BOARD MEMBER	.25 0.	X					0.	0.	0.	
25) ADDISON FISCHER BOARD MEMBER	.25 0.	X					0.	0.	0.	
1b Sub-total							2,060,125.	0.	206,304.	
c Total from continuation sheets to Part VII, Section A							0.	0.	0.	
d Total (add lines 1b and 1c)							2,060,125.	0.	206,304.	

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **10**

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

Section B. Independent Contractors

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

(A) Name and business address	(B) Description of services	(C) Compensation

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 in compensation from the organization **0.**

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

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(26) OLIVIA FISCHER BOARD MEMBER	.25 0.	X					0.	0.	0.	
(27) STEVEN HONIGMAN (THRU 7/20) BOARD MEMBER	.25 0.	X					0.	0.	0.	
(28) JOHN HURLEY BOARD MEMBER	1.00 0.	X					0.	0.	0.	
(29) RALPH ISHAM BOARD MEMBER	.25 0.	X					0.	0.	0.	
(30) ANURAG JAIN BOARD MEMBER	1.00 0.	X					0.	0.	0.	
(31) JAMES L. JONES, JR. BOARD MEMBER	.25 0.	X					0.	0.	0.	
(32) GEORGE KADIFA BOARD MEMBER	.25 0.	X					0.	0.	0.	
(33) HAIFA AL KAYLANI BOARD MEMBER	.25 0.	X					0.	0.	0.	
(34) ZUHAL KURT BOARD MEMBER	.25 0.	X					0.	0.	0.	
(35) GEN. (RET) T. MICHAEL MOSELEY BOARD MEMBER (THRU 6/20)	.25 0.	X					0.	0.	0.	
(36) KAREN LINEHAN MROZ BOARD MEMBER	1.00 0.	X					0.	0.	0.	
1b Sub-total							0.	0.	0.	
c Total from continuation sheets to Part VII, Section A										
d Total (add lines 1b and 1c)										

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **▶ 10**

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

Section B. Independent Contractors

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

(A) Name and business address	(B) Description of services	(C) Compensation

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

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

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(37) FRANCIS NAJAFI (THRU 5/20) BOARD MEMBER	.25 0.	X					0.	0.	0.	
(38) TSUNEO NISHIDA BOARD MEMBER	.25 0.	X					0.	0.	0.	
(39) ADMIRAL (RET) WILLIAM A. OWENS BOARD MEMBER	.25 0.	X					0.	0.	0.	
(40) KITTY PILGRIM BOARD MEMBER	.25 0.	X					0.	0.	0.	
(41) SARAH PEROT BOARD MEMBER	.25 0.	X					0.	0.	0.	
(42) LAURENT M. ROUX BOARD MEMBER	1.00 0.	X					0.	0.	0.	
(43) IKRAM UL-MAJEED SEHGAL BOARD MEMBER	.25 0.	X					0.	0.	0.	
(44) KANWAL SIBAL BOARD MEMBER	.25 0.	X					0.	0.	0.	
(45) KEVIN TAWHEEL BOARD MEMBER	1.00 0.	X					0.	0.	0.	
(46) ALEXANDER VOLOSHIN BOARD MEMBER	.25 0.	X					0.	0.	0.	
(47) PATRICK WALSH BOARD MEMBER	.25 0.	X					0.	0.	0.	
1b Sub-total							0.	0.	0.	
c Total from continuation sheets to Part VII, Section A										
d Total (add lines 1b and 1c)										

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **10**

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

Section B. Independent Contractors

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

(A) Name and business address	(B) Description of services	(C) Compensation

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

Part VIII Statement of Revenue

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

				(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514	
Contributions, Gifts, Grants and Other Similar Amounts	1a	Federated campaigns	1a					
	b	Membership dues	1b					
	c	Fundraising events	1c	313,169.				
	d	Related organizations	1d					
	e	Government grants (contributions) . .	1e	155,914.				
	f	All other contributions, gifts, grants, and similar amounts not included above .	1f	1,566,628.				
	g	Noncash contributions included in lines 1a-1f.	1g	\$				
	h	Total. Add lines 1a-1f ▶		2,035,711.				
	Program Service Revenue	2a	Business Code					
b								
c								
d								
e								
f		All other program service revenue						
g		Total. Add lines 2a-2f ▶		0.				
Other Revenue	3	Investment income (including dividends, interest, and other similar amounts). ▶		170,133.			170,133.	
	4	Income from investment of tax-exempt bond proceeds . ▶		0.				
	5	Royalties ▶		0.				
	6a	Gross rents	(i) Real	(ii) Personal				
			6a					
			b	Less: rental expenses	6b			
	c	Rental income or (loss)	6c					
	d	Net rental income or (loss) ▶			0.			
	7a	Gross amount from sales of assets other than inventory	(i) Securities	(ii) Other				
			7a	9,570,450.				
			b	Less: cost or other basis and sales expenses . .	7b	8,059,546.		
	c	Gain or (loss)	7c	1,510,904.				
	d	Net gain or (loss) ▶			1,510,904.		1,510,904.	
	8a	Gross income from fundraising events (not including \$ 313,169. of contributions reported on line 1c). See Part IV, line 18	8a	71,831.				
	b	Less: direct expenses	8b	71,831.				
c	Net income or (loss) from fundraising events. ▶			0.				
9a	Gross income from gaming activities. See Part IV, line 19	9a	0.					
b	Less: direct expenses	9b	0.					
c	Net income or (loss) from gaming activities. ▶			0.				
10a	Gross sales of inventory, less returns and allowances	10a	0.					
b	Less: cost of goods sold	10b	0.					
c	Net income or (loss) from sales of inventory. ▶			0.				
Miscellaneous Revenue	11a	PAYROLL EXPENSE REIMBURSEMENT	Business Code	900099	209,651.	209,651.		
	b	ADMINISTRATIVE FEES	900099	50,000.	50,000.			
	c	MISCELLANEOUS	900099	843.	843.			
	d	All other revenue						
	e	Total. Add lines 11a-11d ▶			260,494.			
12	Total revenue. See instructions ▶			3,977,242.	260,494.	1,681,037.		

Part IX Statement of Functional Expenses

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

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

	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.				
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21	0.			
2 Grants and other assistance to domestic individuals. See Part IV, line 22	0.			
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16	0.			
4 Benefits paid to or for members	0.			
5 Compensation of current officers, directors, trustees, and key employees	1,124,538.	787,957.	255,969.	80,612.
6 Compensation not included above to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)	55,608.	55,608.		
7 Other salaries and wages	2,312,849.	1,603,956.	539,111.	169,782.
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	126,848.	88,882.	28,873.	9,093.
9 Other employee benefits	488,968.	342,617.	111,300.	35,051.
10 Payroll taxes	304,300.	213,221.	69,265.	21,814.
11 Fees for services (nonemployees):				
a Management	0.			
b Legal	142,447.	70,384.	72,063.	
c Accounting	127,220.	108,357.	18,863.	
d Lobbying	0.			
e Professional fundraising services. See Part IV, line 17.	0.			
f Investment management fees	51,615.		51,615.	
g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O.)	0.			
12 Advertising and promotion	642.	314.	310.	18.
13 Office expenses	169,895.	78,673.	80,891.	10,331.
14 Information technology.	75,857.	24,178.	48,802.	2,877.
15 Royalties.	0.			
16 Occupancy	402,447.	203,528.	158,423.	40,496.
17 Travel	273,415.	245,057.	26,742.	1,616.
18 Payments of travel or entertainment expenses for any federal, state, or local public officials	0.			
19 Conferences, conventions, and meetings	159,021.	142,101.	15,957.	963.
20 Interest	0.			
21 Payments to affiliates.	0.			
22 Depreciation, depletion, and amortization	109,405.	76,287.	26,369.	6,749.
23 Insurance	47,873.	44,062.	3,035.	776.
24 Other expenses. Itemize expenses not covered above (List miscellaneous expenses on line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a EQUIPMENT/REPAIR/MAINTENANCE	32,692.	10,420.	21,032.	1,240.
b DUES & SUBSCRIPTIONS	25,107.	12,299.	12,110.	698.
c OTHER STAFF-RELATED COSTS	19,361.	9,484.	9,339.	538.
d MISCELLANEOUS	7,081.	1,901.	4,169.	1,011.
e All other expenses _____				
25 Total functional expenses. Add lines 1 through 24e	6,057,189.	4,119,286.	1,554,238.	383,665.
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720)	0.			

Part X Balance Sheet

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

		(A)		(B)
		Beginning of year		End of year
Assets	1 Cash - non-interest-bearing	281,448.	1	4,607,571.
	2 Savings and temporary cash investments	680,388.	2	1,121,531.
	3 Pledges and grants receivable, net	1,533,007.	3	70,920.
	4 Accounts receivable, net.	0.	4	0.
	5 Loans and other receivables from any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons	0.	5	0.
	6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B).	0.	6	0.
	7 Notes and loans receivable, net	0.	7	0.
	8 Inventories for sale or use	0.	8	0.
	9 Prepaid expenses and deferred charges	201,400.	9	114,646.
	10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a 1,145,985.		
	b Less: accumulated depreciation	10b 759,508.	483,245.	10c 386,477.
	11 Investments - publicly traded securities.	8,983,234.	11	2,691,245.
	12 Investments - other securities. See Part IV, line 11	0.	12	0.
	13 Investments - program-related. See Part IV, line 11.	0.	13	0.
	14 Intangible assets	0.	14	0.
	15 Other assets. See Part IV, line 11	21,898.	15	16,500.
16 Total assets. Add lines 1 through 15 (must equal line 33)	12,184,620.	16	9,008,890.	
Liabilities	17 Accounts payable and accrued expenses	407,362.	17	317,993.
	18 Grants payable	0.	18	0.
	19 Deferred revenue.	218,500.	19	879,163.
	20 Tax-exempt bond liabilities.	0.	20	0.
	21 Escrow or custodial account liability. Complete Part IV of Schedule D.	0.	21	0.
	22 Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons	0.	22	0.
	23 Secured mortgages and notes payable to unrelated third parties	0.	23	0.
	24 Unsecured notes and loans payable to unrelated third parties.	0.	24	0.
	25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D	373,127.	25	7,136,930.
	26 Total liabilities. Add lines 17 through 25.	998,989.	26	8,334,086.
Net Assets or Fund Balances	Organizations that follow FASB ASC 958, check here <input checked="" type="checkbox"/> and complete lines 27, 28, 32, and 33.			
	27 Net assets without donor restrictions	3,228,242.	27	-5,549,717.
	28 Net assets with donor restrictions.	7,957,389.	28	6,224,521.
	Organizations that do not follow FASB ASC 958, check here <input type="checkbox"/> and complete lines 29 through 33.			
	29 Capital stock or trust principal, or current funds		29	
	30 Paid-in or capital surplus, or land, building, or equipment fund.		30	
	31 Retained earnings, endowment, accumulated income, or other funds.		31	
32 Total net assets or fund balances	11,185,631.	32	674,804.	
33 Total liabilities and net assets/fund balances.	12,184,620.	33	9,008,890.	

Part XI Reconciliation of Net Assets

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

1	Total revenue (must equal Part VIII, column (A), line 12)	1	3,977,242.
2	Total expenses (must equal Part IX, column (A), line 25)	2	6,057,189.
3	Revenue less expenses. Subtract line 2 from line 1	3	-2,079,947.
4	Net assets or fund balances at beginning of year (must equal Part X, line 32, column (A))	4	11,185,631.
5	Net unrealized gains (losses) on investments	5	-1,296,924.
6	Donated services and use of facilities	6	0.
7	Investment expenses	7	0.
8	Prior period adjustments	8	0.
9	Other changes in net assets or fund balances (explain on Schedule O)	9	-7,133,956.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, column (B))	10	674,804.

Part XII Financial Statements and Reporting

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

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

SCHEDULE A
(Form 990 or 990-EZ)

Public Charity Status and Public Support

OMB No. 1545-0047

2019

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

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

▶ Attach to Form 990 or Form 990-EZ.

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

Name of the organization INSTITUTE FOR EASTWEST STUDIES, INC.	Employer identification number 13-3091844
-------------------------------------------------------------------------	-----------------------------------------------------

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

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

- 1 A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i)**.
- 2 A school described in **section 170(b)(1)(A)(ii)**. (Attach Schedule E (Form 990 or 990-EZ).)
- 3 A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii)**.
- 4 A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii)**. Enter the hospital's name, city, and state: _____
- 5 An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv)**. (Complete Part II.)
- 6 A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v)**.
- 7 An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 8 A community trust described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 9 An agricultural research organization described in **section 170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or university: _____
- 10 An organization that normally receives: (1) more than 33 1/3 % of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions - subject to certain exceptions, and (2) no more than 33 1/3 % of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2)**. (Complete Part III.)
- 11 An organization organized and operated exclusively to test for public safety. See **section 509(a)(4)**.
- 12 An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2)**. See **section 509(a)(3)**.
Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
 - a **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
 - b **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
 - c **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
 - d **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
 - e Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.
 - f Enter the number of supported organizations
 - g Provide the following information about the supported organization(s).

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

For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ. Schedule A (Form 990 or 990-EZ) 2019

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

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	9,128,165.	15,326,258.	5,561,090.	8,073,460.	2,035,711.	40,124,684.
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						0.
3 The value of services or facilities furnished by a governmental unit to the organization without charge						0.
4 Total. Add lines 1 through 3.	9,128,165.	15,326,258.	5,561,090.	8,073,460.	2,035,711.	40,124,684.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f).						8,534,703.
6 Public support. Subtract line 5 from line 4						31,589,981.

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
7 Amounts from line 4.	9,128,165.	15,326,258.	5,561,090.	8,073,460.	2,035,711.	40,124,684.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources	341,039.	229,898.	222,697.	334,981.	170,133.	1,298,748.
9 Net income from unrelated business activities, whether or not the business is regularly carried on						0.
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . ATCH. 1	250,412.	278,396.	300,004.	542,093.	260,494.	1,631,399.
11 Total support. Add lines 7 through 10						43,054,831.
12 Gross receipts from related activities, etc. (see instructions)					12	
13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here ▶ <input type="checkbox"/>						

Section C. Computation of Public Support Percentage

14 Public support percentage for 2019 (line 6, column (f) divided by line 11, column (f)).	14	73.37%
15 Public support percentage from 2018 Schedule A, Part II, line 14	15	67.08%
16a 33 1/3% support test - 2019. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here . The organization qualifies as a publicly supported organization. ▶ <input checked="" type="checkbox"/>		
b 33 1/3% support test - 2018. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here . The organization qualifies as a publicly supported organization ▶ <input type="checkbox"/>		
17a 10%-facts-and-circumstances test - 2019. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here . Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization. ▶ <input type="checkbox"/>		
b 10%-facts-and-circumstances test - 2018. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here . Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization. ▶ <input type="checkbox"/>		
18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions ▶ <input type="checkbox"/>		

Part III Support Schedule for Organizations Described in Section 509(a)(2)
 (Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II.
 If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ►	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5.						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b.						
8 Public support. (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ►	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
9 Amounts from line 6.						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
13 Total support. (Add lines 9, 10c, 11, and 12.)						

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

Section C. Computation of Public Support Percentage

15 Public support percentage for 2019 (line 8, column (f), divided by line 13, column (f))	15	%
16 Public support percentage from 2018 Schedule A, Part III, line 15	16	%

Section D. Computation of Investment Income Percentage

17 Investment income percentage for 2019 (line 10c, column (f), divided by line 13, column (f)),	17	%
18 Investment income percentage from 2018 Schedule A, Part III, line 17	18	%

19a 33 1/3% support tests - 2019. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization . ►

b 33 1/3% support tests - 2018. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization ►

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

Part IV Supporting Organizations

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

Section A. All Supporting Organizations

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

Part IV Supporting Organizations (continued)

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

Section B. Type I Supporting Organizations

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

Section C. Type II Supporting Organizations

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

Section D. All Type III Supporting Organizations

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

Section E. Type III Functionally Integrated Supporting Organizations

1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions).			
a <input type="checkbox"/> The organization satisfied the Activities Test. Complete line 2 below.			
b <input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete line 3 below.			
c <input type="checkbox"/> The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions).			
2 Activities Test. Answer (a) and (b) below.		Yes	No
a Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? <i>If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.</i>	2a		
b Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? <i>If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.</i>	2b		
3 Parent of Supported Organizations. Answer (a) and (b) below.			
a Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? <i>Provide details in Part VI.</i>	3a		
b Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? <i>If "Yes," describe in Part VI the role played by the organization in this regard.</i>	3b		

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

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

Section A - Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1 Net short-term capital gain	1		
2 Recoveries of prior-year distributions	2		
3 Other gross income (see instructions)	3		
4 Add lines 1 through 3.	4		
5 Depreciation and depletion	5		
6 Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6		
7 Other expenses (see instructions)	7		
8 Adjusted Net Income (subtract lines 5, 6, and 7 from line 4)	8		
Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1 Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):			
a Average monthly value of securities	1a		
b Average monthly cash balances	1b		
c Fair market value of other non-exempt-use assets	1c		
d Total (add lines 1a, 1b, and 1c)	1d		
e Discount claimed for blockage or other factors (explain in detail in Part VI):			
2 Acquisition indebtedness applicable to non-exempt-use assets	2		
3 Subtract line 2 from line 1d.	3		
4 Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions).	4		
5 Net value of non-exempt-use assets (subtract line 4 from line 3)	5		
6 Multiply line 5 by .035.	6		
7 Recoveries of prior-year distributions	7		
8 Minimum Asset Amount (add line 7 to line 6)	8		
Section C - Distributable Amount			Current Year
1 Adjusted net income for prior year (from Section A, line 8, Column A)	1		
2 Enter 85% of line 1.	2		
3 Minimum asset amount for prior year (from Section B, line 8, Column A)	3		
4 Enter greater of line 2 or line 3.	4		
5 Income tax imposed in prior year	5		
6 Distributable Amount. Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions).	6		
7 <input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions).			

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

Section D - Distributions	Current Year
1 Amounts paid to supported organizations to accomplish exempt purposes	
2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
3 Administrative expenses paid to accomplish exempt purposes of supported organizations	
4 Amounts paid to acquire exempt-use assets	
5 Qualified set-aside amounts (prior IRS approval required)	
6 Other distributions (describe in Part VI). See instructions.	
7 Total annual distributions. Add lines 1 through 6.	
8 Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions.	
9 Distributable amount for 2019 from Section C, line 6	
10 Line 8 amount divided by line 9 amount	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2019	(iii) Distributable Amount for 2019
1 Distributable amount for 2019 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2019 (reasonable cause required - explain in Part VI). See instructions.			
3 Excess distributions carryover, if any, to 2019			
a From 2014			
b From 2015			
c From 2016			
d From 2017			
e From 2018			
f Total of lines 3a through e			
g Applied to underdistributions of prior years			
h Applied to 2019 distributable amount			
i Carryover from 2014 not applied (see instructions)			
j Remainder. Subtract lines 3g, 3h, and 3i from 3f.			
4 Distributions for 2019 from Section D, line 7: \$			
a Applied to underdistributions of prior years			
b Applied to 2019 distributable amount			
c Remainder. Subtract lines 4a and 4b from 4.			
5 Remaining underdistributions for years prior to 2019, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, explain in Part VI. See instructions.			
6 Remaining underdistributions for 2019. Subtract lines 3h and 4b from line 1. For result greater than zero, explain in Part VI. See instructions.			
7 Excess distributions carryover to 2020. Add lines 3j and 4c.			
8 Breakdown of line 7:			
a Excess from 2015			
b Excess from 2016			
c Excess from 2017			
d Excess from 2018			
e Excess from 2019			

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

ATTACHMENT 1

SCHEDULE A, PART II - OTHER INCOME

DESCRIPTION	2015	2016	2017	2018	2019	TOTAL
PAYROLL EXPENSE REIMBURSEMENT	194,285.	216,667.	232,728.	419,908.	209,651.	1,273,239.
ADMINISTRATIVE FEES	50,000.	50,000.	50,000.	100,000.	50,000.	300,000.
MISCELLANEOUS	2,186.	5,829.	6,227.	21,115.	843.	36,200.
TRAVEL EXPENSE REIMBURSEMENT	3,941.	5,900.	11,049.	1,070.		21,960.
TOTALS	<u>250,412.</u>	<u>278,396.</u>	<u>300,004.</u>	<u>542,093.</u>	<u>260,494.</u>	<u>1,631,399.</u>

Schedule of Contributors

2019

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
 ▶ Go to www.irs.gov/Form990 for the latest information.

Name of the organization INSTITUTE FOR EASTWEST STUDIES, INC.	Employer identification number 13-3091844
------------------------------------------------------------------	----------------------------------------------

Organization type (check one):

Filers of:

Section:

- Form 990 or 990-EZ 501(c)(3) (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, 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 **INSTITUTE FOR EASTWEST STUDIES, INC.**

Employer identification number
13-3091844

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		\$ 300,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
2		\$ 200,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
3		\$ 160,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
4		\$ 150,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
5		\$ 115,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
6		\$ 112,500.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)

Name of organization **INSTITUTE FOR EASTWEST STUDIES, INC.**

Employer identification number
13-3091844

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
7		\$ 100,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
8		\$ 100,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
9		\$ 91,399.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
10		\$ 79,565.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
11		\$ 75,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
12		\$ 64,515.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)

Name of organization **INSTITUTE FOR EASTWEST STUDIES, INC.**

Employer identification number
13-3091844

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
13		\$ 53,586.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
14		\$ 51,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
15		\$ 50,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
16		\$ 50,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
17		\$ 50,000.	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.)

Name of organization **INSTITUTE FOR EASTWEST STUDIES, INC.**

Employer identification number

13-3091844

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

Name of organization **INSTITUTE FOR EASTWEST STUDIES, INC.**

Employer identification number
13-3091844

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
_____ _____ _____	_____ _____ _____

SCHEDULE D (Form 990)

Supplemental Financial Statements

OMB No. 1545-0047

2019

Open to Public Inspection

Department of the Treasury Internal Revenue Service

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

Attach to Form 990.

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

Name of the organization

INSTITUTE FOR EASTWEST STUDIES, INC.

Employer identification number

13-3091844

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

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

Table with 3 columns: Line number, Description, (a) Donor advised funds, (b) Funds and other accounts. Includes rows for total number at end of year, aggregate value of contributions, grants, and end of year, and two Yes/No questions about donor advisement.

Part II Conservation Easements.

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

Table with 3 columns: Line number, Description, and Held at the End of the Tax Year. Includes rows for purpose(s) of conservation easements, total number of easements, acreage, and number of easements on historic structures, and several Yes/No questions.

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

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

Table with 3 columns: Line number, Description, and Amount. Includes rows for reporting requirements for art and historical treasures, and amounts for revenue and assets.

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

Schedule D (Form 990) 2019

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

3 Using the organization's acquisition, accession, and other records, check any of the following that make significant use of its collection items (check all that apply):

- a** Public exhibition
- b** Scholarly research
- c** Preservation for future generations
- d** Loan or exchange program
- e** Other _____

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? **Yes** **No**

Part IV Escrow and Custodial Arrangements.

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

1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? **Yes** **No**

b If "Yes," explain the arrangement in Part XIII and complete the following table:

	Amount
1c Beginning balance	
1d Additions during the year	
1e Distributions during the year	
1f Ending balance	

2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? **Yes** **No**

b If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII

Part V Endowment Funds.

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

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance	6,622,619.	6,794,489.	6,768,365.	6,331,739.	6,295,962.
b Contributions					
c Net investment earnings, gains, and losses	246,701.	190,480.	382,736.	809,409.	409,926.
d Grants or scholarships					
e Other expenditures for facilities and programs	33,555.	323,050.	325,000.	325,000.	325,000.
f Administrative expenses	1,257,942.	39,300.	31,612.	47,783.	49,149.
g End of year balance	5,577,823.	6,622,619.	6,794,489.	6,768,365.	6,331,739.

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

- a** Board designated or quasi-endowment ▶ _____ %
- b** Permanent endowment ▶ 100.0000 %
- c** Term endowment ▶ _____ %

The percentages on lines 2a, 2b, and 2c should equal 100%.

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

	Yes	No
(i) Unrelated organizations	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(ii) Related organizations	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R?	<input type="checkbox"/>	<input type="checkbox"/>

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

Part VI Land, Buildings, and Equipment.

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

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings				
c Leasehold improvements		651,650.	363,030.	288,620.
d Equipment		298,056.	270,148.	27,908.
e Other		196,279.	126,330.	69,949.
Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.)				386,477.

Part VII Investments - Other Securities.

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

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely held equity interests		
(3) Other _____		
(A)		
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
Total. (Column (b) must equal Form 990, Part X, col. (B) line 12.) . ▶		

Part VIII Investments - Program Related.

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

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

Part IX Other Assets.

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

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

Part X Other Liabilities.

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

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) ACCRUED CLOSING COSTS	7,136,930.
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶	7,136,930.

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

Part XIII Supplemental Information (continued)

PART V, LINE 4:

THE ORGANIZATION MAINTAINS A DONOR-RESTRICTED ENDOWMENT FUND CONSISTING OF APPROXIMATELY 20 INDIVIDUAL FUNDS THAT HAS BEEN ESTABLISHED FOR VARIOUS PURPOSES AND HAS BEEN CLASSIFIED AS DONOR RESTRICTED NET ASSETS.

IN 2019, THE ORGANIZATION'S BOARD OF DIRECTORS APPROVED TO APPROPRIATE AN ANNUAL DISTRIBUTION OF UP TO 5% OF THE NET VALUE OF THE ORGANIZATION'S ENDOWMENT USING A FIVE-YEAR RUNNING AVERAGE OF THE ENDOWMENT TO COVER OPERATING COSTS.

PART X, LINE 2:

UNDER U.S. GAAP, AN ORGANIZATION MUST RECOGNIZE THE FINANCIAL STATEMENT EFFECTS OF TAX POSITIONS TAKEN FOR TAX RETURN PURPOSES WHEN IT IS MORE LIKELY THAN NOT THAT THE POSITION WILL NOT BE SUSTAINED. INSTITUTE FOR EASTWEST STUDIES, INC. DOES NOT BELIEVE THERE ARE ANY MATERIAL UNCERTAIN TAX POSITIONS AND, ACCORDINGLY, IT HAS NOT RECOGNIZED ANY LIABILITY FOR UNCERTAIN TAX BENEFITS. THE ORGANIZATION HAS FILED IRS FORM 990 TAX RETURNS, AS REQUIRED, AND ALL OTHER APPLICABLE RETURNS IN JURISDICTIONS WHEN IT IS REQUIRED. FOR THE YEAR ENDED SEPTEMBER 30, 2020, THERE WERE NO INTEREST OR PENALTIES RECORDED OR INCLUDED IN THE CONSOLIDATING FINANCIAL STATEMENTS.

**SCHEDULE F
(Form 990)**

Statement of Activities Outside the United States

OMB No. 1545-0047

2019

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 14b, 15, or 16.
▶ Attach to Form 990.
▶ Go to www.irs.gov/Form990 for instructions and the latest information.

Name of the organization

INSTITUTE FOR EASTWEST STUDIES, INC.

Employer identification number

13-3091844

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

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

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

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

(a) Region	(b) Number of offices in the region	(c) Number of employees, agents, and independent contractors in the region	(d) Activities conducted in the region (by type) (such as, fundraising, program services, investments, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in the region	(f) Total expenditures for and investments in the region
(1) EUROPE	1.	7.	PROGRAM SERVICES	REGIONAL SECURITY	1,148,741.
(2) RUSSIA/INDEPENDENT STATES	1.	3.	PROGRAM SERVICES	TRUST BLDG INITIATIVES	511,803.
(3) EUROPE	0.	0.	PROGRAM SERVICES	BALKANS INITIATIVE	87,895.
(4)					
(5)					
(6)					
(7)					
(8)					
(9)					
(10)					
(11)					
(12)					
(13)					
(14)					
(15)					
(16)					
(17)					
3a Subtotal	2.	10.			1,748,439.
b Total from continuation sheets to Part I					
c Totals (add lines 3a and 3b)	2.	10.			1,748,439.

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

Schedule F (Form 990) 2019

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

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

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

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

Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Region	(c) Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of noncash assistance	(g) Description of noncash assistance	(h) Method of valuation (book, FMV, appraisal, other)
(1)							
(2)							
(3)							
(4)							
(5)							
(6)							
(7)							
(8)							
(9)							
(10)							
(11)							
(12)							
(13)							
(14)							
(15)							
(16)							
(17)							
(18)							

Part IV Foreign Forms

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

Part V **Supplemental Information**

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

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

		(a) Event #1	(b) Event #2	(c) Other events	(d) Total events
		ANNUAL GALA			(add col. (a) through col. (c))
		(event type)	(event type)	(total number)	
Revenue	1	Gross receipts	385,000.		385,000.
	2	Less: Contributions	313,169.		313,169.
	3	Gross income (line 1 minus line 2)	71,831.		71,831.
Direct Expenses	4	Cash prizes			
	5	Noncash prizes			
	6	Rent/facility costs			
	7	Food and beverages	56,260.		56,260.
	8	Entertainment			
	9	Other direct expenses	15,571.		15,571.
	10	Direct expense summary. Add lines 4 through 9 in column (d) ▶			71,831.
11	Net income summary. Subtract line 10 from line 3, column (d) ▶				

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

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

9 Enter the state(s) in which the organization conducts gaming activities: _____
 a Is the organization licensed to conduct gaming activities in each of these states? Yes No
 b If "No," explain: _____

10a Were any of the organization's gaming licenses revoked, suspended, or terminated during the tax year? Yes No
 b If "Yes," explain: _____

- 11 Does the organization conduct gaming activities with nonmembers? Yes No
- 12 Is the organization a grantor, beneficiary or trustee of a trust or a member of a partnership or other entity formed to administer charitable gaming? Yes No
- 13 Indicate the percentage of gaming activity conducted in:

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

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

Name ▶ _____

Address ▶ _____

- 15 a Does the organization have a contract with a third party from whom the organization receives gaming revenue? Yes No
- b If "Yes," enter the amount of gaming revenue received by the organization ▶ \$ _____ and the amount of gaming revenue retained by the third party ▶ \$ _____.
- c If "Yes," enter name and address of the third party:

Name ▶ _____

Address ▶ _____

16 Gaming manager information:

Name ▶ _____

Gaming manager compensation ▶ \$ _____

Description of services provided ▶ _____

Director/officer Employee Independent contractor

- 17 Mandatory distributions:
 - a Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license? Yes No
 - b Enter the amount of distributions required under state law to be distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ▶ \$ _____

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

**SCHEDULE J
(Form 990)**

Department of the Treasury
Internal Revenue Service

Name of the organization

INSTITUTE FOR EASTWEST STUDIES, INC.

Compensation Information

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

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

▶ Attach to Form 990.

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

OMB No. 1545-0047

2019

Open to Public Inspection

Employer identification number

13-3091844

Part I Questions Regarding Compensation

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Schedule J (Form 990) 2019

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

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

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

(A) Name and Title	(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
	(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
1 WILLIAM J. PARKER III PRESIDENT AND CEO (THRU 7/20)	(i) 230,488. (ii) 0. (iii) 0.	0.	0.	13,813.	1,126.	245,427.	0.
2 CAMERON MUNTER (THRU 6/ FORMER PRESIDENT AND CEO	(i) 197,851. (ii) 0. (iii) 0.	0.	232,414.	16,800.	912.	447,977.	0.
3 BRUCE MCCONNELL PRESIDENT AND CEO (EFF. 7/20)	(i) 354,270. (ii) 0. (iii) 0.	0.	0.	16,800.	1,930.	373,000.	0.
4 CONRAD JARZEBOWSKI (THRU VP, COMMUNICATIONS	(i) 151,712. (ii) 0. (iii) 0.	0.	6,438.	9,270.	17,719.	185,139.	0.
5 DANIELA KAISTH VP, DEVELOPMENT	(i) 141,359. (ii) 0. (iii) 0.	0.	0.	0.	25,513.	166,872.	0.
6 INGO DEAN DIRECTOR, IT	(i) 169,160. (ii) 0. (iii) 0.	0.	0.	10,503.	17,719.	197,382.	0.
7 ANDREW YU CONTROLLER	(i) 140,643. (ii) 0. (iii) 0.	0.	0.	9,444.	25,513.	175,600.	0.
8 OLIVER SENFT DIRECTOR, HR	(i) 134,366. (ii) 0. (iii) 0.	0.	0.	8,370.	8,806.	151,542.	0.
9	(i) 0. (ii) 0. (iii) 0.						
10	(i) 0. (ii) 0. (iii) 0.						
11	(i) 0. (ii) 0. (iii) 0.						
12	(i) 0. (ii) 0. (iii) 0.						
13	(i) 0. (ii) 0. (iii) 0.						
14	(i) 0. (ii) 0. (iii) 0.						
15	(i) 0. (ii) 0. (iii) 0.						
16	(i) 0. (ii) 0. (iii) 0.						

Part III Supplemental Information

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

PART I, LINE 4A:

CAMERON MUNTER, FORMER PRESIDENT AND CEO, THRU JUNE 2019, RECEIVED

SEVERANCE PAYMENTS TOTALING \$232,414, WHICH IS REPORTED ON SCHEDULE J,

PART II, COLUMN (B) (III).

CONRAD JARZEBOWSKI, VP, COMMUNICATIONS, THRU DECEMBER 2019, RECEIVED

SEVERANCE PAYMENTS TOTALING \$6,438, WHICH IS REPORTED ON SCHEDULE J, PART

II, COLUMN (B) (III).

SCHEDULE L
(Form 990 or 990-EZ)

Transactions With Interested Persons

OMB No. 1545-0047

2019

Open To Public Inspection

Department of the Treasury
Internal Revenue Service

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

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

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

Name of the organization
INSTITUTE FOR EASTWEST STUDIES, INC.

Employer identification number
13-3091844

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

1	(a) Name of disqualified person	(b) Relationship between disqualified person and organization	(c) Description of transaction	(d) Corrected?	
				Yes	No
(1)					
(2)					
(3)					
(4)					
(5)					
(6)					

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

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

Part II Loans to and/or From Interested Persons.
Complete if the organization answered "Yes" on Form 990-EZ, Part V, line 38a or Form 990, Part IV, line 26; or if the organization reported an amount on Form 990, Part X, line 5, 6, or 22.

(a) Name of interested person	(b) Relationship with organization	(c) Purpose of loan	(d) Loan to or from the organization?		(e) Original principal amount	(f) Balance due	(g) In default?		(h) Approved by board or committee?		(i) Written agreement?	
			To	From			Yes	No	Yes	No	Yes	No
			(1)									
(2)												
(3)												
(4)												
(5)												
(6)												
(7)												
(8)												
(9)												
(10)												
Total ▶						\$						

Part III Grants or Assistance Benefiting Interested Persons.
Complete if the organization answered "Yes" on Form 990, Part IV, line 27.

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of assistance	(d) Type of assistance	(e) Purpose of assistance
(1)				
(2)				
(3)				
(4)				
(5)				
(6)				
(7)				
(8)				
(9)				
(10)				

Part IV Business Transactions Involving Interested Persons.

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

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of transaction	(d) Description of transaction	(e) Sharing of organization's revenues?	
				Yes	No
(1) ANNIE COWAN	RELATIVE OF JOEL COWAN	55,608.	COMPENSATION		X
(2)					
(3)					
(4)					
(5)					
(6)					
(7)					
(8)					
(9)					
(10)					

Part V Supplemental Information

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

PART IV:

ANNIE COWAN IS THE GRANDDAUGHTER OF JOEL COWAN, BOARD MEMBER. MS. COWAN WAS PROGRAM ASSOCIATE IN BRUSSELS DURING THE FISCAL YEAR.

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

Department of the Treasury
Internal Revenue Service

Name of the organization

INSTITUTE FOR EASTWEST STUDIES, INC.

Supplemental Information to Form 990 or 990-EZ

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

▶ Attach to Form 990 or 990-EZ.

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

OMB No. 1545-0047

2019

**Open to Public
Inspection**

Employer identification number

13-3091844

FORM 990, PART I, LINE 1:

WE FORGE NEW CONNECTIONS AND BUILD TRUST AMONG GLOBAL LEADERS AND
INFLUENCERS, HELP CREATE PRACTICAL NEW SOLUTIONS AND TAKE ACTION THROUGH
OUR NETWORK OF GLOBAL DECISION-MAKERS. INDEPENDENT AND NONPROFIT SINCE
OUR FOUNDING IN 1980, THE INSTITUTE MAINTAINS OFFICES IN NEW YORK,
BRUSSELS, MOSCOW AND SAN FRANCISCO.

FORM 990, PART III, LINE 1:

THE EASTWEST INSTITUTE IS A GLOBAL NETWORK OF INFLUENTIAL STAKEHOLDERS
COMMITTED TO AND ENGAGED IN BUILDING TRUST AND PREVENTING CONFLICT AROUND
THE WORLD. WE ENGAGE IN CONFLICT PREVENTION AND RESOLUTION, PROVIDING
THOUGHT LEADERSHIP AND STRATEGIC COUNSEL TO GOVERNMENTS, THE PRIVATE
SECTOR AND OTHER STAKEHOLDERS WORLDWIDE. WE BRING CONFLICTING PARTIES TO
THE NEGOTIATING TABLE, OFTEN FOR THE FIRST TIME, TO FIND COMMON GROUND.
WE ANTICIPATE GLOBAL CHALLENGES AND DEVELOP SOLUTIONS RELEVANT TO
POLICYMAKERS AND CORPORATE LEADERS.

FORM 990, PART III, LINE 4B:

CYBERSECURITY INITIATIVE -

THE OBJECTIVE OF THE GLOBAL COOPERATION IN CYBERSPACE PROGRAM IS TO
REDUCE CONFLICT, CRIME AND OTHER DISRUPTIONS IN CYBERSPACE AND PROMOTE
STABILITY, INNOVATION AND INCLUSION.

GLOBAL COOPERATION IS ESSENTIAL TO SUCCESSFULLY ADDRESS EXISTING AND

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EMERGING CONFLICTS--BOTH IN CYBERSPACE AND ACROSS ALL AREAS OF HUMAN ENDEAVOR. TO THIS END, THE EASTWEST INSTITUTE BEGAN ITS CYBER WORK IN 2009 AS THE PIONEER ORGANIZATION THAT INITIATED A GLOBAL DIALOGUE ON CYBERSPACE SECURITY, DIPLOMACY AND DETERRENCE. PAST SUCCESSES HAVE HELPED SHORTEN REPAIR TIMES FOR DAMAGED UNDERSEA CABLES, REDUCE SPAM ON A GLOBAL BASIS, PROMOTE BALANCED ENCRYPTION POLICIES, BUILD BILATERAL CONFIDENCE AND TRUST BETWEEN EAST AND WEST TO IMPROVE CRISIS RESPONSE AND COMBAT MALICIOUS HACKERS, AND DEVELOP NORMS OF RESPONSIBLE BEHAVIOR IN CYBERSPACE.

IN 2020, THE PROGRAM WILL CONTINUE TO DEVELOP AND ADVOCATE FOR RECOMMENDED CHANGES IN NATIONAL AND CORPORATE POLICIES AND PROCEDURES. THE PRINCIPAL MEANS OF DEVELOPING THESE RECOMMENDATIONS IS THROUGH THE WORK OF FIVE COLLABORATIVE BREAKTHROUGH GROUPS, COMPOSED OF DECISION-MAKERS FROM KEY SECTORS AROUND THE WORLD:

- INCREASING THE GLOBAL AVAILABILITY AND USE OF SECURE ICT PRODUCTS AND SERVICES
- SECURE, RESILIENT CITIES AND THE INTERNET OF THINGS
- SYSTEMIC RISK AND CYBER INSURANCE
- PROMOTING NORMS OF RESPONSIBLE BEHAVIOR IN CYBERSPACE
- UBIQUITOUS ENCRYPTION AND LAWFUL GOVERNMENT ACCESS

AS RECOMMENDATIONS MATURE, EWI LEADS THE PREPARATION OF REPORTS DETAILING AND SUPPORTING THE CONCLUSIONS. THE LATEST REPORT, WEATHERING

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TECHNATIONALISM: A SECURITY AND TRUSTWORTHINESS FRAMEWORK TO MANAGE CYBER SUPPLY CHAIN RISK, WAS RELEASED IN MAY 2020. THE REPORT PROVIDES A FRAMEWORK TO OVERCOME THE TRUST GAP BETWEEN ICT BUYERS, VENDORS, AND OPERATORS AND THEIR RESPECTIVE GOVERNMENTS INSTEAD OF RELYING ON "TECHNATIONALISM" - MEASURES THAT FAVOR ICT PRODUCTS AND SERVICES SOLD BY COMPANIES HEADQUARTERED DOMESTICALLY OR IN ALLIED STATES - TO IMPROVE OVERALL ICT SECURITY.

EWI CYBER HOSTED ITS SECOND VIRTUAL ROUNDTABLE ON TECHNOLOGY NATIONALISM ON JUNE 24, 2020 TO FOSTER DIALOGUE AMONG CHINESE, EUROPEAN, INDIAN, JAPANESE, MALAYSIAN, SINGAPOREAN AND U.S. EXPERTS, WITH A FOCUS ON CURRENT DEVELOPMENTS IN ASIA. THE SUCCESSFUL ROUNDTABLE WAS HOSTED BY HON. MICHAEL CHERTOFF AND HAD 35 PARTICIPANTS. IT FOLLOWED THE MAY 18 RELEASE OF CYBER'S LATEST REPORT, WEATHERING TECHNATIONALISM: A SECURITY AND TRUSTWORTHINESS FRAMEWORK TO MANAGE CYBER SUPPLY CHAIN RISK. THE REPORT PROPOSES A PRACTICAL RISK MITIGATION FRAMEWORK FOR ASSURANCE AND TRANSPARENCY TO ENHANCE GLOBAL ICT TRUSTWORTHINESS.

EWI CYBER HOSTED THE FIRST VIRTUAL MEETING TO SUPPORT ITS DUTCH-FUNDED GLOBAL SOUTH PROJECT IN AUGUST 2020. THIS PROJECT WILL FEED INTO ONGOING UN PROCESSES IN AN EFFORT TO BUILD CAPACITY FOR CYBER NORMS IMPLEMENTATION IN THE GLOBAL SOUTH AND EMERGING MARKETS. THIS MEETING, WHICH FOCUSED ON SOUTHEAST ASIA, DISCUSSED EMERGING TECHNOLOGIES, UN NORMS PROCESSES, CYBER CAPACITY BUILDING AND PUBLIC-PRIVATE PARTNERSHIPS. HOSTED IN PARTNERSHIP WITH THE CYBER SECURITY AGENCY OF SINGAPORE AND S.

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RAJARATNAM SCHOOL OF INTERNATIONAL STUDIES, THE MEETING FEATURED PARTICIPANTS FROM GOVERNMENTS, BUSINESSES, CIVIL SOCIETY ORGANIZATIONS, AND UNIVERSITIES FROM BOTH WITHIN ASEAN AND AROUND THE WORLD.

FORM 990, PART III, LINE 4C:

ASIA PACIFIC -

SINCE 2006, EWI'S EAST ASIA (FORMALLY ASIA-PACIFIC) PROGRAM HAS FOCUSED ON CONVENING CONSTRUCTIVE, HIGH-LEVEL DIALOGUES THAT ENGAGE KEY AMERICAN AND REGIONAL STAKEHOLDERS FROM GOVERNMENT, BUSINESS AND MILITARY SECTORS TO ADDRESS IMPORTANT SECURITY ISSUES, AIMING TO ENHANCE GREATER MUTUAL UNDERSTANDING AND PREVENT CONFLICTS. THE PROGRAM HAS STRENGTHENED TRUST AND DEVELOPED ORIGINAL POLICY IDEAS, WHICH ARE RECEIVING ATTENTION IN WASHINGTON, BEIJING AND TOKYO.

DIALOGUES AND IMPACTS:

EWI'S U.S.-CHINA HIGH-LEVEL POLITICAL PARTY LEADERS DIALOGUE (P2P) IS THE ONLY U.S.-CHINA DIALOGUE PROCESS INVOLVING SITTING OFFICIALS FROM THE COMMUNIST PARTY OF CHINA AND THE U.S. DEMOCRATIC AND REPUBLICAN NATIONAL COMMITTEES. LAUNCHED IN 2010, THE DIALOGUE BUILDS TRUST AND UNDERSTANDING AMONG POLITICAL LEADERS FROM THE U.S. AND CHINA THROUGH AN EXCHANGE OF VIEWS ON DOMESTIC GOVERNANCE AND FOREIGN POLICY ISSUES.

SINCE 2008, THE U.S.-CHINA SANYA INITIATIVE HAS REGULARLY ASSEMBLED RETIRED U.S. AND CHINESE FOUR-STAR GENERALS AND ADMIRALS TO BUILD GREATER MILITARY-TO-MILITARY UNDERSTANDING BETWEEN THE TWO COUNTRIES AND TO MITIGATE THE CHANCE OF ESCALATION AND MISCALCULATION. DELEGATIONS HAVE

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DISCUSSED A WIDE SPECTRUM OF STRATEGIC SECURITY ISSUES, INCLUDING NORTH KOREA, MARITIME DISPUTES IN THE SOUTH AND EAST CHINA SEAS, CHINA'S MILITARY REFORM AND COUNTERTERRORISM.

THE U.S.-JAPAN MILITARY-TO-MILITARY DIALOGUE, LAUNCHED IN 2017, DEMONSTRATES ONGOING EFFORTS TO INTEGRATE MORE PLAYERS FROM THE INDO-PACIFIC INTO PROGRAMMATIC INITIATIVES AND OUTREACH. THESE DIALOGUES HAVE FACILITATED EXCHANGE AMONG FOUR-STAR GENERALS AND ADMIRALS FROM THE JAPANESE AND U.S. MILITARIES ON ISSUES OF CRITICAL CONCERN TO BOTH COUNTRIES. THE EAST ASIA PROGRAM WILL SEEK TO BROADEN THIS EXCHANGE TO INCLUDE BOTH INDIA AND CHINA, TO ENRICH THE DISCUSSION OF EVOLVING ISSUES IN THE INDO-PACIFIC REGION.

FORM 990, PART III, LINE 4D(1):

REGIONAL SECURITY -

THE MIDDLE EAST AND NORTH AFRICA (MENA) REGION IS UNDERGOING UNPRECEDENTED, HISTORIC, COMPLEX AND RAPID TRANSFORMATIONS. THE RESULTS ARE VIOLENT AND IN SOME CASES PEACEFUL SHIFTS, RESHAPING OF STATE-SOCIETY AS WELL AS INTER-STATE RELATIONS AND CHANGES TO THE BALANCE OF POWER, FRAGMENTATION, POLARIZATION, AND CONTESTS FOR POWER AND INFLUENCE AMONG REGIONAL RIVALS. EWIS MENA PROGRAM IS RECOGNIZED FOR ITS ROLE AS A BRIDGE-BUILDER BETWEEN CONFLICTING PARTIES. IT HAS BEEN PROVIDING A PLATFORM AND SAFE ENVIRONMENT FOR INFLUENTIAL, WELL-CONNECTED EXPERTS AND OFFICIALS FROM THE REGION AND BEYOND TO ENGAGE IN CONFIDENTIAL, COMPLEX, AND CONSTRUCTIVE CONVERSATIONS THAT AIM AT ACHIEVING COMMON GROUND AND DEVELOPING PRACTICAL SOLUTIONS FOR SOME OF THE KEY CRISES THAT

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DESTABILIZE THE REGION: 1) ASSISTING IRAQ TO BECOME THE CENTER OF REGIONAL COOPERATION RATHER THAN BEING A THEATER FOR PROXY WARS, 2) IRAN-SAUDI REGIONAL RIVALRY, 3) LACK OF INCLUSIVE GOVERNANCE & POWER SHARING IN NORTHEAST SYRIA, 4) WEAK ECONOMIC RELATIONS BETWEEN ALGERIA AND MOROCCO, 5) MARITIME SECURITY AND PREVENTING INCIDENTS AT SEA IN THE GULF REGION, AND 6) STEMMING ISIS & TERRORIST FINANCING.

CURRENT PROJECTS:

A) IRAQ AND ITS NEIGHBORS: ENHANCING DIALOGUE AND REGIONAL INTEGRATION IN WEST ASIA - THE PROJECT AIMS AT ASSISTING IRAQ TO TRANSFORM FROM BEING A THEATER FOR PROXY WARS TO BECOME A BRIDGE-BUILDER AND CENTER FOR REGIONAL INTERDEPENDENCE THROUGH IMPROVED BILATERAL AND MULTILATERAL RELATIONS WITH ITS KEY FIVE NEIGHBORS: SAUDI ARABIA, IRAN, JORDAN, TURKEY AND KUWAIT. KEY POLICY IDEAS WILL BE DEVELOPED FOR REGIONAL AND BILATERAL COOPERATION IN THE AREAS OF SECURITY, POLITICS, PEOPLE-TO-PEOPLE RELATIONS, ECONOMY, ENERGY AND ENVIRONMENTAL COOPERATION.

B) IRAN-SAUDI DIALOGUE - OVER THE COURSE OF THE PAST FIVE YEARS, WE HAVE BEEN BUILDING TRUST BETWEEN A CORE GROUP OF IRANIAN AND SAUDI EXPERTS THAT JOINTLY DEVELOP POLICY SOLUTIONS IN VERY SPECIFIC AREAS INCLUDING 1) CHALLENGES AND OPPORTUNITIES FOR COOPERATION IN THE "POST-OIL" ECONOMIC ERA, 2) IDENTIFYING POTENTIAL AVENUES OF COOPERATION IN THE FIELD OF CLIMATE CHANGE, 3) THE ROLE OF ACADEMIC EXCHANGE IN MITIGATING CONFLICT, 4) CONTOURS OF A "NON-AGGRESSION PACT" BETWEEN BOTH COUNTRIES AND 5) THE ROLE OF MEDIA NARRATIVES AND DISCOURSES IN IGNITING CONFLICTS, PORTRAYING AND STEREOTYPING "THE OTHER," AND HOW THESE NARRATIVES COULD PLAY

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POSITIVE ROLES IN CREATING CHANGE OF PERSPECTIVES.

C) DIALOGUES ON GOVERNANCE AND SECURITY IN NORTHEAST SYRIA -

DISAGREEMENTS BETWEEN THE TWO MAIN SYRIAN KURDISH POLITICAL BLOCS--THE DEMOCRATIC UNION PARTY (PYD) AND THE KURDISH NATIONAL COUNCIL (KNC)--AND BETWEEN KURDISH AUTHORITIES AND NON-KURDISH COMMUNITIES IN NORTHEASTERN SYRIA ARE NEGATIVELY AFFECTING EFFORTS TO REACH A SUSTAINABLE, PEACEFUL SOLUTION IN THE WAR-TORN COUNTRY. THIS PROJECT AIMS TO FACILITATE COMMON UNDERSTANDINGS BETWEEN THESE GROUPS ON ISSUES AFFECTING SECURITY AND STABILITY IN THE REGION, INCLUDING INCLUSIVE GOVERNANCE AND POWER SHARING.

D) ALGERIA-MOROCCO BUSINESS DIALOGUE - THIS PROJECT FOCUSES ON MULTIPLE BUSINESS SECTORS WITH THE AIM OF OVERCOMING OBSTACLES TO BILATERAL TRADE BETWEEN THE TWO NEIGHBORS. THE DIALOGUES WILL ENGAGE PRAGMATIC BUSINESS LEADERS FROM BOTH COUNTRIES DURING A SERIES OF HIGH-LEVEL CONFERENCES. DISCUSSIONS WILL CENTER ON TOPICS VITAL TO SUCCESSFUL ENTREPRENEURSHIP IN ALGERIA AND MOROCCO SUCH AS FOOD SECURITY, AGRICULTURE, HEALTHCARE, THE IMPACT OF DIGITALIZATION AND NEW TECHNOLOGIES AND ENERGY--WITH A PARTICULAR FOCUS ON HOW TO ATTRACT QUALITY INVESTMENT, ENSURE ENVIRONMENTAL PROTECTION AND EMPOWER BUSINESSWOMEN.

EWI SUCCESSFULLY CONVENED THE SECOND ALGERIA-MOROCCO BUSINESS DIALOGUE ON "WOMEN'S EMPOWERMENT AND ENTREPRENEURSHIP: CHALLENGES AND OPPORTUNITIES," IN COOPERATION WITH ITS PARTNER ORGANIZATIONS, THE GERMAN ALGERIAN AND GERMAN-MOROCCAN CHAMBERS OF INDUSTRY AND COMMERCE. THE WEBINAR BROUGHT TOGETHER FOUR HIGH RANKING FEMALE BUSINESS LEADERS, TWO EACH FROM ALGERIA

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AND MOROCCO, TO TAKE PART IN A CROSS-BORDER BUSINESS DIALOGUE AIMING TO PROMOTE GREATER ECONOMIC CONNECTIVITY BETWEEN THE TWO COUNTRIES.

ON SEPTEMBER 8, 2020, EWI AND THE CENTER FOR APPLIED RESEARCH IN PARTNERSHIP WITH THE ORIENT (CARPO) HOSTED THEIR SIXTH "BRUSSELS MENA BRIEFING"-A SERIES OF AFTER-WORK BRIEFINGS ON THE MIDDLE EAST AND NORTH AFRICA (MENA) REGION-ON THE TOPIC OF "JORDANIAN FOREIGN POLICY IN LIGHT OF REGIONAL GEOPOLITICAL SHIFTS."

TOTAL EXPENSES: \$716,894. TOTAL REVENUE: \$0.

FORM 990, PART III, LINE 4D(2):

RUSSIA AND U.S. -

EWI CONTINUES TO BRIDGE THE STRATEGIC DIVIDE BETWEEN RUSSIA AND THE UNITED STATES BY PROMOTING COOPERATIVE ENGAGEMENT BETWEEN THE TWO COUNTRIES ON ISSUES OF MUTUAL INTEREST. IN RECENT YEARS, AS RUSSIA'S RELATIONS WITH THE WEST HAVE DETERIORATED, EWI HAS HELPED TO FILL THE VOID IN DISRUPTED BILATERAL GOVERNMENTAL CHANNELS BY SUSTAINING U.S.-RUSSIA DIALOGUE TALKS ON A NUMBER OF CRITICAL ISSUES, INCLUDING COUNTERTERRORISM AND COUNTERNARCOTICS EFFORTS IN AFGHANISTAN AND CYBERSECURITY. EVEN IN THIS CHALLENGING POLITICAL CLIMATE, EWI CONTINUES TO ENGAGE KEY POLICYMAKERS, EXPERTS AND BUSINESS LEADERS AND EXPERTS IN BOTH RUSSIA AND THE UNITED STATES TO KEEP OPEN CHANNELS OF COMMUNICATION, ACHIEVE BREAKTHROUGHS AND DELIVER POLICY IMPACT.

RECOGNIZED AS A TRUSTED CONVENER, EWI ENGAGES POLICYMAKERS, BUSINESS

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LEADERS AND EXPERTS TO ACHIEVE BREAKTHROUGHS AND DELIVER POLICY IMPACT IN CRITICAL AREAS AFFECTING THE BILATERAL RELATIONSHIP. IN THE CONTEXT OF RUSSIA'S G8 PRESIDENCY IN 2006, FOR INSTANCE, EWI LAUNCHED A SERIES OF INTERNATIONAL PUBLIC-PRIVATE CONSULTATIONS ON COUNTERING TERRORISM.

IN 2009, EWI BROUGHT TOGETHER TOP RUSSIAN AND AMERICAN SCIENTISTS FOR THE FIRST-EVER JOINT THREAT ASSESSMENT, WHICH FOCUSED ON IRAN'S NUCLEAR AND BALLISTIC MISSILE POTENTIAL. THE SUCCESS OF THIS PROJECT LED TO THE CREATION OF SIMILAR EWI JOINT WORKING GROUPS ADDRESSING OTHER CRITICAL ISSUES OF MUTUAL CONCERN, SUCH AS CYBER SECURITY AND AFGHAN NARCOTRAFFICKING.

SINCE 2017, THE JOINT U.S.-RUSSIA WORKING GROUP ON COUNTERTERRORISM IN AFGHANISTAN HAS CONVENED AMERICAN AND RUSSIAN EXPERTS IN MOSCOW, WASHINGTON, D.C., BRUSSELS AND VIENNA TO ASSESS THE IMPACT OF TERRORIST AND INSURGENT GROUPS ON AFGHANISTAN'S SECURITY AND STABILITY. THROUGH THE EFFORTS OF THE WORKING GROUP, EWI SEEKS TO BRIDGE THE GAP IN CURRENT U.S.-RUSSIA DIPLOMATIC ENGAGEMENT AND HELP BUILD TRUST-EVEN IF GRADUALLY AND INCREMENTALLY BETWEEN GOVERNMENTS AND THE POLITICAL ESTABLISHMENTS OF BOTH COUNTRIES.

IN JUNE 2019, EWI CONVENED A FOURTH AND FINAL MEETING OF THE JOINT U.S.-RUSSIA WORKING GROUP ON COUNTERTERRORISM IN AFGHANISTAN IN VIENNA, AUSTRIA. AGAINST A BACKDROP OF DYNAMIC CHANGES IN AFGHANISTAN, AMERICAN AND RUSSIAN EXPERTS CAME TOGETHER TO ASSESS MAJOR DEVELOPMENTS IN THE

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BILATERAL RELATIONSHIP; THE CURRENT SECURITY AND POLITICAL SITUATION IN AFGHANISTAN; BORDER MANAGEMENT CONCERNS; TERRORIST RECRUITMENT AND RADICALIZATION; AND THE ROLE OF ECONOMIC DEVELOPMENT IN CONTRIBUTING TO A SAFE AND STABLE AFGHANISTAN. IN THE FRAMEWORK OF THE MEETING, AMBASSADOR THOMAS GREMINGER, SECRETARY GENERAL OF THE ORGANIZATION FOR SECURITY AND CO-OPERATION IN EUROPE (OSCE), ADDRESSED THE WORKING GROUP, SPEAKING ON REGIONAL APPROACHES TO COUNTERTERRORISM IN CENTRAL ASIA AND AFGHANISTAN.

THESE DELIBERATIONS CONTRIBUTED TO THE PUBLICATION OF TERRORISM IN AFGHANISTAN: A JOINT THREAT ASSESSMENT, IN MAY 2020, WHICH PROVIDES POLICYMAKERS WITH AN INDEPENDENT ASSESSMENT OF THE TERRORIST THREAT IN AFGHANISTAN AND EXPLORES THE COUNTERTERRORISM AGENDA IN THE BROADER GEOPOLITICAL CONTEXT OF U.S.-RUSSIA RELATIONS.

TOGETHER WITH RUSSIAN AND EUROPEAN PARTNERS, EWI'S RUSSIA AND CYBER PROGRAMS IN AUGUST 2020 RELEASED AN ANALYTICAL REPORT ON THE APPLICATION OF NORMS OF RESPONSIBLE BEHAVIOR OF STATES IN THE ICT ENVIRONMENT, TO BE SUBMITTED FOR UN EXPERT DISCUSSIONS IN 2020.

TOTAL EXPENSES: \$321,697. TOTAL REVENUE: \$0.

FORM 990, PART III, LINE 4D(3):

ECONOMIC SECURITY -

AS ONE OF THE FASTEST GROWING AND DYNAMIC REGIONS, SOUTH ASIA ACCOUNTS FOR NEARLY ONE QUARTER OF THE WORLD POPULATION AND AN INCREASINGLY GREATER SHARE OF THE GLOBAL ECONOMY. YET OWING TO INTERNAL CONFLICTS,

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TERRITORIAL DISPUTES AND A HISTORY OF DEEPLY-ROOTED MISTRUST, THE VARIOUS REGIONAL STAKEHOLDERS CONTINUE TO STRUGGLE IN COLLECTIVELY ANTICIPATING SHARED CHALLENGES AND TAPPING INTO THE MYRIAD OPPORTUNITIES FOR GROWTH AND DEVELOPMENT.

THE EASTWEST INSTITUTE'S SOUTH ASIA PROGRAM AIMS TO ADVANCE KNOWLEDGE AND UNDERSTANDING OF THE REGION'S UNDERLYING ISSUES IN ORDER TO GENERATE SUSTAINED SUPPORT TOWARDS GREATER INTRA-REGIONAL COOPERATION. TO THIS END, THE PROGRAM BRINGS TOGETHER THE MOST PROMINENT AND INFLUENTIAL VOICES IN SOUTH ASIA TO:

- ESTABLISH MULTI-STAKEHOLDER PLATFORMS FOR SHARED ECONOMIC, FINANCIAL AND GEOPOLITICAL INTERESTS BY BRINGING TOGETHER MEDIA INFLUENCERS, THOUGHT LEADERS, AND BUSINESS EXPERTS FROM WITHIN THE U.S. AND SOUTH ASIA.
- PINPOINT EMERGING SHARED SECURITY THREATS OF OVERLAPPING INTEREST AND CHARTING PATHS FORWARD ALONG AVENUES OF COOPERATION, INCLUDING JOINT ACTION ON ISSUES STEMMING FROM WATER AND FOOD INSECURITY, AND CLIMATE CHANGE.
- CULTIVATE CHANNELS OF CULTURAL DIPLOMACY AND PEOPLE-TO-PEOPLE EXCHANGE AS A TOOL FOR ANTICIPATING AND PREVENTING THE ESCALATION OF CONFLICTS AND PROMOTING STRONGER REGIONAL TIES.
- REINFUSE RATIONALITY AND KEEN DIPLOMATIC INSIGHT INTO THE RELATIONSHIP BETWEEN THE U.S. AND SOUTH ASIAN MEMBER STATES, ENCOURAGING THE REAFFIRMATION OF CONTINUED PARTNERSHIP ON REGIONAL AND GLOBAL

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CHALLENGES.

- EXAMINE INTERREGIONAL CONNECTIVITY AND CHINA'S GROWING REGIONAL PRESENCE, INCLUDING THE IMPACT OF THE BELT AND ROAD INITIATIVE AND THE CHINA PAKISTAN ECONOMIC CORRIDOR AND OVERALL OPPORTUNITIES FOR INTEGRATION, CONNECTIVITY AND STABILITY.

ON MARCH 2-4, 2020, THE EASTWEST INSTITUTE AND KONRAD-ADENAUER-STIFTUNG (KAS), IN CONCERT WITH THE INSTITUTE OF NATIONAL SECURITY STUDIES SRI LANKA (INSSSL) AND CONSORTIUM OF SOUTH ASIAN THINK TANKS (COSATT), CONVENED A HIGH-LEVEL DIALOGUE ENTITLED: "WATER SECURITY AND DISASTER MANAGEMENT IN ASIA" IN COLOMBO, SRI LANKA.

THE DIALOGUE, SECOND IN THE PROJECT SERIES, BROUGHT TOGETHER EXPERTS FROM BOTH THE PUBLIC AND PRIVATE SECTORS IN INDIA, PAKISTAN, BANGLADESH, NEPAL, SRI LANKA AND THE MALDIVES TO JOINTLY ANALYZE THREATS TO WATER SECURITY IN ASIA IN THE FACE OF WORSENING HYDRO-METEOROLOGICAL DISASTERS DUE TO CLIMATE CHANGE. THE TWO-DAY DIALOGUE CONSISTED OF SIX PANEL DISCUSSIONS ON VARIED TOPICS RELATED TO THE POLITICIZATION OF WATER SECURITY, INCLUDING THE ECONOMIC VULNERABILITIES OF THE WATER CRISIS AND STAKEHOLDER ENGAGEMENT, AMONG OTHERS.

ON AUGUST 12, 2020, THE SOUTH ASIA PROGRAM, IN COOPERATION WITH CORPORATE PAKISTAN GROUP (CPG), HOSTED A WEBINAR DISCUSSION ON "SOUTH ASIA'S ECONOMIC FUTURE IN THE POST COVID-19 WORLD." THE WEBINAR BROUGHT TOGETHER A DISTINGUISHED PANEL OF EXPERTS, INCLUDING EWI PRESIDENT BRUCE MCCONNELL

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AND BOARD MEMBER IKRAM SEHGAL, TO SHARE THEIR PERSPECTIVES ON THE IMPACTS OF COVID-19 ON SOUTH ASIAN ECONOMIES AND HOW THE REGION CAN WORK TOWARDS IMPROVING ITS SOCIO-ECONOMIC CONDITIONS IN THE POST COVID-19 WORLD.

PREVIOUS WEBINARS:

- JUNE 18, 2020: "THE GEOPOLITICS AND GEOECONOMICS OF COVID-19: DISCERNING THE SOUTH ASIA-CHINA NEXUS". THE WEBINAR FEATURED DR. PARAG KHANNA, FOUNDER AND MANAGING PARTNER OF FUTURE MAP, AND DR. WILLIAM J. PARKER.
- APRIL 30, 2020: "NAVIGATING THE GEOPOLITICS OF COVID-19" HOSTED IN COOPERATION WITH THE AMERICAN PAKISTAN FOUNDATION.

IN PARTNERSHIP WITH KONRAD-ADENAUER-STIFTUNG |MDPD, THE SOUTH ASIA PROGRAM IN MOVING FORWARD WITH PLANS FOR A DIALOGUE ON "INTERNATIONAL HYDRODIPLOMACY-BUILDING AND STRENGTHENING REGIONAL INSTITUTIONS FOR WATER CONFLICT PREVENTION" EWI AND KAS ARE CURRENTLY WORKING WITH PROGRAMMATIC EXPERTS ON A PRE-CONFERENCE STUDY.

TOTAL EXPENSES: \$290,987. TOTAL REVENUE: \$260,494.

FORM 990, PART III, LINE 4D(4):

BALKANS INITIATIVE -

EASTWEST INSTITUTE HAS LAUNCHED THE BALKANS PROGRAM IN RESPONSE TO AN URGENT NEED FOR INCLUSIVE AND OPEN, HIGH LEVEL DIALOGUE CONCERNING PRESSING SECURITY CHALLENGES THREATENING THE WESTERN BALKANS AND EUROPE. IN PARTNERSHIP WITH THE MUNICH SECURITY CONFERENCE AND THE BELGRADE FUND

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FOR POLITICAL EXCELLENCE, THE INITIATIVE AIMS TO INCREASE AND DEEPEN UNDERSTANDING OF KEY ISSUES WHILE BUILDING TRUST BETWEEN REPRESENTATIVES OF THE VARIOUS GEOPOLITICAL INTERESTS PRESENT IN THE REGION TODAY.

THE PROGRAM'S WORK CENTERS ON THE BALKAN DIALOGUES INITIATIVE—A SERIES OF DIALOGUES IN DIFFERENT CAPITALS IN EUROPE AND THE U.S. THAT PROVIDE A PLATFORM FOR POLICYMAKERS AND EXPERTS TO DISCUSS AND DEBATE KEY AREAS WHERE COMPETING INTERESTS COLLIDE AND PRODUCE RECOMMENDATIONS FOR DEFUSING EXISTING TENSIONS.

DIALOGUES AND IMPACTS:

THE FIRST OF THE BALKANS DIALOGUES TOOK PLACE IN MARCH 2019 IN BELGRADE. DECISION-MAKERS AND EXPERTS FROM THE SIX COUNTRIES OF THE WESTERN BALKANS (WB6), INCLUDING ALBANIA, BOSNIA AND HERZEGOVINA, KOSOVO, MACEDONIA, MONTENEGRO AND SERBIA, ALONG WITH THE EUROPEAN UNION, UNITED STATES, RUSSIA AND CHINA MET TO REASSESS STRATEGIC GOALS IN THE REGION, RESULTING IN SEVERAL POLICY RECOMMENDATIONS. PARTICIPANTS INCLUDED AMB. CAMERON MUNTER; AMB. WOLFGANG ISCHINGER; AMB. FRANK WISNER; ERHARD BUSEK; PIERRE MIREL; AMB. KAI EIDE, IVAN KRASDEV AND ALEKSANDAR VUCIC, PRESIDENT OF SERBIA, ALONG WITH MANY OTHER STAKEHOLDERS AND EXPERTS.

THE SECOND BALKAN DIALOGUES EVENT CONVENED IN BERLIN IN DECEMBER 2019, GATHERING 57 PARTICIPANTS (HEADS OF STATE, DIGNITARIES AND EXPERTS) ALONG WITH 30 OBSERVERS FROM 19 COUNTRIES FOR A TWO-DAY WORKING SESSION FOCUSED ON THE FUTURE OF EU EXPANSION AND THE UNRESOLVED KOSOVO-SERBIA CRISIS.

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PARTICIPANTS PUT FORWARD IDEAS TO PREVENT FUTURE CONFLICT, UNBLOCK THE NEGOTIATIONS BETWEEN SERBIA AND KOSOVO AND MAKE THE EU ENLARGEMENT PROCESS MORE EFFICIENT AND ATTRACTIVE FOR BOTH THE EU AND THE BALKANS.

THE PROGRAM'S THIRD BALKAN DIALOGUES MEETING OCCURRED DURING THE MUNICH SECURITY CONFERENCE IN MARCH 2020. THE EVENT ATTRACTED AN IMPRESSIVE NUMBER OF HIGH-LEVEL PARTICIPANTS AND FOSTERED A LIVELY AND IMPASSIONED DISCUSSION AMONG ITS ACTIVE PARTICIPANTS, INCLUDING FIVE PRIME MINISTERS, FIVE PRESIDENTS, THE EU HIGH REPRESENTATIVE FOR FOREIGN POLICY, GERMAN STATE SECRETARY, U.S. ASSISTANT SECRETARY OF STATE, SECRETARY GENERAL OF OSCE, SEVEN MINISTERS OF FOREIGN AFFAIRS AND DEFENSE AND SEVERAL CURRENT AND FORMER AMBASSADORS.

IN JULY 2020, EWI'S BALKAN PROGRAM ORGANIZED A DIGITAL MEETING ON THE "KOSOVO SERBIA AGREEMENT: BEGINNING WITH THE END IN MIND"-THE FOURTH SESSION IN ITS BALKAN DIALOGUES SERIES.

IN AUGUST 2020, THE BALKAN DIALOGUES TEAM, IN PARTNERSHIP WITH BELGRADE FUND FOR POLITICAL EXCELLENCE, COMPLETED A CYCLE OF FOUR DYNAMIC AND FOCUSED EXPERT DISCUSSIONS ADDRESSING KEY ELEMENTS OF THE FUTURE AGREEMENT BETWEEN SERBIA AND KOSOVO: 1) THE FUTURE STATUS OF CULTURAL HERITAGE AND SACRED RELIGIOUS OBJECTS BELONGING TO ORTHODOX CHURCH IN KOSOVO; 2) THE STATUS OF OF ASSOCIATED SERB MUNICIPALITIES; 3) ECONOMY, PROPERTY AND ENERGY GOVERNANCE; 4) AND THE FUTURE STATUS OF KOSOVO UNDER INTERNATIONAL LAW IN THE CONTEXT OF A COMPREHENSIVE AGREEMENT. EACH

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SESSION PRODUCED A DETAILED REPORT COVERING KEY RECOMMENDATIONS AND POTENTIAL SOLUTIONS. THE TEAM WILL REVIEW, EDIT AND COMPILE THESE REPORTS INTO A COMBINED PAPER, WHICH WILL BE PRESENTED TO EU OFFICIALS AND EXPERTS FROM COUNTRIES ENGAGED IN THE NEGOTIATIONS PROCESS. SEPARATELY, THE DOCUMENT WILL BE PRESENTED AND DISSEMINATED TO POLITICAL LEADERS FROM SERBIA, KOSOVO AND THE EU, CIVIL SECTOR ORGANIZATIONS, AS WELL AS DIPLOMATIC REPRESENTATIVES ACROSS THE REGION.

TOTAL EXPENSES: \$73,377. TOTAL REVENUE: \$0.

FORM 990, PART VI, SECTION A, LINE 2:

ROSS PEROT, JR., CHAIRMAN, AND SARAH PEROT, BOARD MEMBER, HAVE A FAMILY RELATIONSHIP.

OLIVIA FISCHER AND ADDISON FISCHER, BOARD MEMBERS, HAVE A FAMILY RELATIONSHIP.

FORM 990, PART VI, SECTION B, LINE 10B:

THE ORGANIZATION REQUIRES ALL STAFF MEMBERS TO ACKNOWLEDGE A RECEIPT OF THE STAFF HANDBOOK THAT CONTAIN WRITTEN POLICIES AND PROCEDURES OF CONDUCTING BUSINESS ACTIVITIES. THE OFFICES ARE REQUIRED TO REPORT THE MONTHLY FINANCIAL ACTIVITY AND FINANCIAL FORECAST TO NEW YORK OFFICE. THE BRUSSELS OFFICE REPRESENTATIVE IS A MEMBER OF THE SENIOR MANAGEMENT TEAM AND OTHER MEMBERS OF THE TEAM OVERSEES MOSCOW AND SAN FRANCISCO OFFICES. THE SENIOR MANAGEMENT TEAM REVIEW THE PROGRESS OF THE PROJECTS THAT ARE CONDUCTED IN EACH OFFICE ON A MONTHLY BASIS.

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FORM 990, PART VI, SECTION B, LINE 11B:

THE FORM 990 IS REVIEWED BY MEMBERS OF THE INSTITUTE'S FINANCE DEPARTMENT AND BY THE INSTITUTE'S EXECUTIVE VICE PRESIDENT BEFORE BEING PRESENTED FOR AUDIT COMMITTEE REVIEW. AFTER FORM 990 IS REVIEWED BY THE AUDIT COMMITTEE, THE ENTIRE BOARD OF DIRECTORS IS SENT A PASSWORD PROTECTED LINK, WHICH GIVES THEM ACCESS TO FORM 990 ON THE INSTITUTE'S WEBSITE PRIOR TO ITS FILING WITH THE IRS.

FORM 990, PART VI, SECTION B, LINE 12C:

THE EASTWEST INSTITUTE (EWI) DISTRIBUTES ANNUALLY A CONFLICT OF INTEREST QUESTIONNAIRE FOR EWI DIRECTORS. ALL DIRECTORS OF THE INSTITUTE ARE REQUIRED TO COMPLETE, SIGN, DATE AND RETURN THE FORM TO THE DESIGNATED EWI STAFF MEMBER. EWI STAFF MAINTAINS A SPREADSHEET NOTING WHICH FORMS HAVE BEEN RECEIVED AND WHICH REMAIN OUTSTANDING. EFFORTS ARE MADE TO OBTAIN OUTSTANDING FORMS WHEN THE BOARD OF DIRECTORS HOLDS ITS BOARD MEETINGS. EFFORTS TO RECEIVE COMPLETED FORMS ARE ALSO MADE VIA E-MAIL. THE INSTITUTE'S MANAGEMENT TEAM WILL PROVIDE ADDITIONAL SUPPORT TO THE DESIGNATED STAFF MEMBER TO ENSURE 100% COMPLIANCE FROM THE DIRECTORS IN SIGNING AND RETURNING TO MANAGEMENT THE ANNUAL CONFLICT OF INTEREST QUESTIONNAIRE. IN ADDITION, THE INSTITUTE'S HUMAN RESOURCES DEPARTMENT SENDS A STAFF HANDBOOK WITH CODE OF BUSINESS CONDUCT AND ETHICS (INCLUDING CONFLICTS OF INTEREST SECTION) TO EWI STAFF, INCLUDING NEW HIRES AND BOARD MEMBERS BEFORE APPOINTMENT, AND REQUESTS ACKNOWLEDGMENT OF RECEIPT OF THE DOCUMENT. IN 2018, ALL STAFF MEMBERS ACKNOWLEDGED RECEIPT OF THE STAFF HANDBOOK. IN ADDITION, THE KEY EMPLOYEES COMPLETED A CONFLICTS OF INTEREST QUESTIONNAIRE SIMILAR TO THE VERSION THAT IS

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DISTRIBUTED TO EWI BOARD MEMBERS AND WILL DO SO SUBSEQUENTLY ON AN ANNUAL BASIS.

FORM 990, PART VI, SECTION B, LINES 15A AND 15B:

THE COMPENSATION COMMITTEE OF THE EASTWEST INSTITUTE'S INDEPENDENT BOARD OF DIRECTORS ANNUALLY REVIEWS THE FAIRNESS OF THE CEO'S COMPENSATION AND BENEFITS AND UTILIZES DATA FROM COMPETENT SALARY SURVEYS IN THE NOT-FOR-PROFIT INDUSTRY. THE CEO IS NOT A MEMBER OF THE COMPENSATION COMMITTEE. THE COMMITTEE WORKS TOGETHER WITH THE HUMAN RESOURCES DEPARTMENT. COMPARABLE DATA FROM SALARY SURVEYS OF SIMILAR POSITIONS IN THE NOT-FOR-PROFIT INDUSTRY ARE REVIEWED, AND THE CEO AND SENIOR MANAGEMENT TEAM ARE ADVISED OF CURRENT STANDARDS AND PAY SCALES. THE CHANGE OF COMPENSATION IS SUGGESTED TO THE COMPENSATION COMMITTEE FOR APPROVAL. A COPY OF THE APPROVAL OR REFUSAL BY THE COMPENSATION COMMITTEE IS PUT INTO THE PERSONNEL FILE OF THE CEO AND FOR PAYROLL PURPOSES SUBMITTED TO THE FINANCE DEPARTMENT. HR SUMMARIZES THE DECISION IN A CONFIRMATION LETTER, WHICH IS GIVEN TO THE CEO. ALL DOCUMENTATION IS PREPARED NO LATER THAN 30 DAYS AFTER THE APPROVAL. FOR EMPLOYEES WITH A SALARY LESS THAN \$100,000 USD THE PROCESS IS AS FOLLOWS: FIRST, THE SUPERVISOR SENDS A REQUEST TO HR, WHICH INCLUDES THE FORM "POSITION CHANGE/NEW POSITION INFORMATION". WITHIN THIS FORM, THE REQUESTING SUPERVISOR DESCRIBES A JUSTIFICATION IN DETAIL. ALONGSIDE THIS DOCUMENT, HR SUGGESTS A SPECIFIC SALARY RANGE, WHICH IS BASED ON REPRESENTATIVE SALARY SURVEYS IN THE NOT-FOR-PROFIT INDUSTRY. AFTER ALL INFORMATION IS COLLECTED AND VERIFIED, THE VP MAKING THE REQUEST, THE VP OF FINANCE AND ADMINISTRATION, AND THE CEO APPROVE OR DECLINE THE ADJUSTMENT. FOR

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EMPLOYEES WITH SALARIES OF MORE THAN \$100,000 USD, AND/OR KEY EMPLOYEES (VPS, DIRECTORS, ETC.), THE PROCESS INCLUDES REVIEW AND APPROVAL BY THE COMPENSATION COMMITTEE. ALL DOCUMENTATION IS FILED IN THE PERSONNEL FILES AND FINANCE DEPARTMENT, AND A LETTER OF CONFIRMATION IS GIVEN TO THE EMPLOYEE.

FORM 990, PART VI, SECTION C, LINE 19:

THE ORGANIZATION MAKES ITS GOVERNING DOCUMENTS, CONFLICT OF INTEREST POLICY AND FINANCIAL STATEMENTS AVAILABLE TO THE PUBLIC UPON REQUEST.

FORM 990, PART I, LINE 2 AND PART XI, LINE 9:

A) INSTITUTE FOR EASTWEST STUDIES, INC. HAS CHANGED ITS BASIS OF ACCOUNTING FROM THE ONGOING BASIS USED IN PRESENTING THE 2019 CONSOLIDATED FINANCIAL STATEMENTS TO THE LIQUIDATION BASIS USED IN PRESENTING THE 2020 FINANCIAL STATEMENTS. IN ACCORDANCE WITH THE VERIFIED PETITION TO THE ATTORNEY GENERAL OF THE COURT FOR APPROVAL OF PLAN OF DISSOLUTION AND DISTRIBUTION OF ASSETS DATED NOVEMBER 19, 2020, THE BOARD OF DIRECTORS OF THE ORGANIZATION HAS COME TO THE CONCLUSION TO VOLUNTARILY CEASE OPERATIONS WITHIN 270 DAYS AFTER THE DATE ON WHICH THE ATTORNEY GENERAL APPROVES THE PLAN OF DISSOLUTION AND DISTRIBUTION OF ASSETS (THE DATE OF DISSOLUTION). THE REMAINING ASSETS, LIABILITIES AND NET ASSETS, INCLUDING ITS INTELLECTUAL PROPERTY RIGHTS AS OF THE DATE OF DISSOLUTION, ARE TO BE TRANSFERRED TO THE FOLLOWING ORGANIZATIONS: ATLANTIC COUNCIL OF THE UNITED STATES, INC. (ATLANTIC COUNCIL), GEORGE H. W. BUSH CHINA FOUNDATION FOR U.S.-CHINA RELATIONS (BUSH CHINA FOUNDATION), COLLEGE OF CHARLESTON FOUNDATION (THE COLLEGE), HENRY L.

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STIMSON CENTER (STIMSON), AND OBSERVER RESEARCH FOUNDATION (OBSERVER).

THE COLLEGE WILL TAKE OVER THE RESPONSIBILITY OF SETTLING THE ORGANIZATION'S OUTSTANDING LIABILITIES AS OF THE DATE OF DISSOLUTION.

TOTAL ACCRUED CLOSURE COSTS.....\$(7,136,930.)

B) FOREIGN TRANSLATION GAIN.....2,974.

TOTAL FORM 990, PART XI, LINE 9.....\$(7,133,956.)

THE ACCRUED CLOSURE COSTS INCLUDE AN ACCRUAL OF ANTICIPATED DISTRIBUTIONS TO FIVE PUBLIC CHARITIES AS DISCUSSED ABOVE. INSTITUTE FOR EASTWEST STUDIES, INC. WILL REPORT THESE DISTRIBUTIONS ON FORM 990, SCHEDULE N FOR THE FOLLOWING PERIOD WHICH IS EXPECTED TO BE ITS FINAL RETURN.

THE PLAN OF DISSOLUTION AND DISTRIBUTION OF ASSETS DATED NOVEMBER 19, 2020 IS SUBJECT TO APPROVAL BY NEW YORK STATE ATTORNEY GENERAL.

ATTACHMENT 1

FORM 990, PART V, LINE 4B - FOREIGN COUNTRIES

BELGIUM

RUSSIA