

Application for Recognition of Exemption
Under Section 501(c)(3) of the Internal Revenue Code

OMB No. 1545-0056
If exempt status is approved, this application will be open for public inspection.

Read the instructions for each Part carefully.

A User Fee must be attached to this application.

If the required information and appropriate documents are not submitted along with Form 8718 (with payment of the appropriate user fee), the application may be returned to you.

Complete the Procedural Checklist on page 7 of the instructions.

Part I Identification of Applicant

1a Full name of organization (as shown in organizing document) Los Alamos National Laboratory Foundation		2 Employer identification number (EIN) (If none, see page 2 of the instructions.) 74 : 285-3972
1b c/o Name (if applicable) Chris Olivera		3 Name and telephone number of person to be contacted if additional information is needed Chris Olivera (505) 665-3908
1c Address (number and street) 1350 Central Avenue	Room/Suite 101	
1d City or town, state, and ZIP code Los Alamos, New Mexico 8 7 5 4 4 -		4 Month the annual accounting period ends December
5 Date incorporated or formed April 17, 1997	6 Activity codes (See page 3 of the instructions.) 602	7 Check here if applying under section: a <input type="checkbox"/> 501(e) b <input type="checkbox"/> 501(f) c <input type="checkbox"/> 501(k)
8 Did the organization previously apply for recognition of exemption under this Code section or under any other section of the Code? If "Yes," attach an explanation. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
9 Is the organization required to file Form 990 (or Form 990-EZ)? If "No," attach an explanation (see page 3 of the Specific Instructions). <input type="checkbox"/> N/A <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
10 Has the organization filed Federal income tax returns or exempt organization information returns? If "Yes," state the form numbers, years filed, and Internal Revenue office where filed. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		

Post Mark

Received

FEB 26 '98

MAR 10 '98

Internal Revenue Service
Covington, K.Y.

11 Check the box for the type of organization. ATTACH A CONFORMED COPY OF THE CORRESPONDING ORGANIZING DOCUMENTS TO THE APPLICATION BEFORE MAILING. (See Specific Instructions for Part I, Line 11, on page 3.) Get Pub. 557, Tax-Exempt Status for Your Organization, for examples of organizational documents.)

- a ☒ Corporation—Attach a copy of the Articles of Incorporation (including amendments and restatements) showing approval by the appropriate state official; also include a copy of the bylaws.
- b ☐ Trust— Attach a copy of the Trust Indenture or Agreement, including all appropriate signatures and dates.
- c ☐ Association— Attach a copy of the Articles of Association, Constitution, or other creating document, with a declaration (see instructions) or other evidence the organization was formed by adoption of the document by more than one person; also include a copy of the bylaws.

If the organization is a corporation or an unincorporated association that has not yet adopted bylaws, check here ☐

I declare under the penalties of perjury that I am authorized to sign this application on behalf of the above organization and that I have examined this application, including the accompanying schedules and attachments, and to the best of my knowledge it is true, correct, and complete.

Please
Sign
Here

Colucia
(Signature)

FOUNDATION OFFICER/DIRECTOR 10/10/97
(Title or authority of signer) (Date)

NOV 21 2001

Internal Revenue Service

Department of the Treasury

P. O. Box 2508
Cincinnati, OH 45201

Date: November 19, 2001

Person to Contact:

Gordon Schnur 31-02345
Customer Service Specialist

Toll Free Telephone Number:

8:00 a.m. to 9:30 p.m. EST

877-829-5500

Fax Number:

513-263-3756

Susan Herrera
Los Alamos National Laboratory
Foundation
1850 Old Pecos Trail, Ste. F
Sante Fe, NM 87505


Dear Sir or Madam:

Enclosed is the document you requested for Los Alamos National Laboratory Foundation.

Please accept our apology for the delay in responding to your request and for any inconvenience this may have caused you or your organization.

If you have any questions, please call us at the telephone number shown in the heading of this letter.

Sincerely,



Gordon Schnur 31-02345
Customer Service Specialist

Application for Recognition of Exemption Under Section 501(c)(3) of the Internal Revenue Code

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Exemption received per S. Hurren at 6-10-98 Rec'd See P/F 120

Part II Activities and Operational Information

- 1 Provide a detailed narrative description of all the activities of the organization—past, present, and planned. Do not merely refer to or repeat the language in the organizational document. List each activity separately in the order of importance based on the relative time and other resources devoted to the activity. Indicate the percentage of time for each activity. Each description should include, as a minimum, the following: (a) a detailed description of the activity including its purpose and how each activity furthers your exempt purpose; (b) when the activity was or will be initiated; and (c) where and by whom the activity will be conducted.

PLEASE SEE ATTACHED SUPPLEMENTAL INFORMATION

- 2 What are or will be the organization's sources of financial support? List in order of size.

PLEASE SEE ATTACHED SUPPLEMENTAL INFORMATION

- 3 Describe the organization's fundraising program, both actual and planned, and explain to what extent it has been put into effect. Include details of fundraising activities such as selective mailings, formation of fundraising committees, use of volunteers or professional fundraisers, etc. Attach representative copies of solicitations for financial support.

PLEASE SEE ATTACHED SUPPLEMENTAL INFORMATION

Part II Activities and Operational Information (Continued)**4** Give the following information about the organization's governing body:**a** Names, addresses, and titles of officers, directors, trustees, etc.**b** Annual compensation

PLEASE SEE SUPPLEMENTAL INFORMATION SHEET

c Do any of the above persons serve as members of the governing body by reason of being public officials or being appointed by public officials? ☐ Yes ☒ No
 If "Yes," name those persons and explain the basis of their selection or appointment.

d Are any members of the organization's governing body "disqualified persons" with respect to the organization (other than by reason of being a member of the governing body) or do any of the members have either a business or family relationship with "disqualified persons"? (See Specific Instructions for Part II, Line 4d, on page 3.) ☐ Yes ☒ No
 If "Yes," explain.

5 Does the organization control or is it controlled by any other organization? ☐ Yes ☒ No
 Is the organization the outgrowth of (or successor to) another organization, or does it have a special relationship with another organization by reason of interlocking directorates or other factors? ☐ Yes ☒ No
 If either of these questions is answered "Yes," explain.

6 Does or will the organization directly or indirectly engage in any of the following transactions with any political organization or other exempt organization (other than a 501(c)(3) organization): (a) grants; (b) purchases or sales of assets; (c) rental of facilities or equipment; (d) loans or loan guarantees; (e) reimbursement arrangements; (f) performance of services, membership, or fundraising solicitations; or (g) sharing of facilities, equipment, mailing lists or other assets, or paid employees? ☐ Yes ☒ No
 If "Yes," explain fully and identify the other organizations involved.

7 Is the organization financially accountable to any other organization? ☐ Yes ☒ No
 If "Yes," explain and identify the other organization. Include details concerning accountability or attach copies of reports if any have been submitted.

Part II Activities and Operational Information (Continued)

- 8 What assets does the organization have that are used in the performance of its exempt function? (Do not include property producing investment income.) If any assets are not fully operational, explain their status, what additional steps remain to be completed, and when such final steps will be taken. If "None," indicate "N/A."

N/A

- 9 Will the organization be the beneficiary of tax-exempt bond financing within the next 2 years? ☐ Yes ☒ No

- 10a Will any of the organization's facilities or operations be managed by another organization or individual under a contractual agreement? ☐ Yes ☒ No

- b Is the organization a party to any leases? ☐ Yes ☒ No

If either of these questions is answered "Yes," attach a copy of the contracts and explain the relationship between the applicant and the other parties.

- 11 Is the organization a membership organization? ☐ Yes ☒ No

If "Yes," complete the following:

- a Describe the organization's membership requirements and attach a schedule of membership fees and dues.

- b Describe the organization's present and proposed efforts to attract members and attach a copy of any descriptive literature or promotional material used for this purpose.

- c What benefits do (or will) the members receive in exchange for their payment of dues?

- 12a If the organization provides benefits, services, or products, are the recipients required, or will they be required, to pay for them? ☐ N/A ☐ Yes ☒ No
If "Yes," explain how the charges are determined and attach a copy of the current fee schedule.

- b Does or will the organization limit its benefits, services, or products to specific individuals or classes of individuals? ☐ N/A ☐ Yes ☒ No
If "Yes," explain how the recipients or beneficiaries are or will be selected.

- 13 Does or will the organization attempt to influence legislation? ☐ Yes ☒ No
If "Yes," explain. Also, give an estimate of the percentage of the organization's time and funds that it devotes or plans to devote to this activity.

- 14 Does or will the organization intervene in any way in political campaigns, including the publication or distribution of statements? ☐ Yes ☒ No
If "Yes," explain fully.

Part III Technical Requirements

- 1 Are you filing Form 1023 within 15 months from the end of the month in which your organization was created or formed? ☒ Yes ☐ No
If you answer "Yes," do not answer questions on lines 2 through 7 below.

- 2 If one of the exceptions to the 15-month filing requirement shown below applies, check the appropriate box and proceed to question 8.

Exceptions—You are not required to file an exemption application within 15 months if the organization:

- ☐ a Is a church, interchurch organization of local units of a church, a convention or association of churches, or an integrated auxiliary of a church. See Specific Instructions, Line 2a, on page 4;
- ☐ b Is not a private foundation and normally has gross receipts of not more than \$5,000 in each tax year; or
- ☐ c Is a subordinate organization covered by a group exemption letter, but only if the parent or supervisory organization timely submitted a notice covering the subordinate.

- 3 If the organization does not meet any of the exceptions on line 2 above, are you filing Form 1023 within 27 months from the end of the month in which the organization was created or formed? ☐ Yes ☐ No

If "Yes," your organization qualifies under section 4.01 of Rev. Proc. 92-85, 1992-2 C.B. 490, for an automatic 12-month extension of the 15-month filing requirement. Do not answer questions 4 through 7.

If "No," answer question 4.

- 4 If you answer "No" to question 3, has the organization been contacted by the IRS regarding its failure to file Form 1023 within 27 months from the end of the month in which the organization was created or formed? ☐ Yes ☐ No

If "No," your organization is requesting an extension of time to apply under the "reasonable action and good faith" requirements of section 5.01 of Rev. Proc. 92-85. Do not answer questions 5 through 7.

If "Yes," answer question 5.

- 5 If you answer "Yes" to question 4, does the organization wish to request relief from the 15-month filing requirement? ☐ Yes ☐ No

If "Yes," give the reasons for not filing this application prior to being contacted by the IRS. See Specific Instructions, Line 5, on page 4 before completing this item. Do not answer questions 6 and 7.

If "No," answer question 6.

- 6 If you answer "No" to question 5, your organization's qualification as a section 501(c)(3) organization can be recognized only from the date this application is filed with your key District Director. Therefore, do you want us to consider the application as a request for recognition of exemption as a section 501(c)(3) organization from the date the application is received and not retroactively to the date the organization was created or formed? ☐ Yes ☐ No

- 7 If you answer "Yes" to question 6 above and wish to request recognition of section 501(c)(4) status for the period beginning with the date the organization was formed and ending with the date the Form 1023 application was received (the effective date of the organization's section 501(c)(3) status), check here ☐ and attach a completed page 1 of Form 1024 to this application.

Part III Technical Requirements (Continued)

8 Is the organization a private foundation?

☐ Yes (Answer question 9.)

☒ No (Answer question 10 and proceed as instructed.)

9 If you answer "Yes" to question 8, does the organization claim to be a private operating foundation?

☐ Yes (Complete Schedule E.)

☐ No

After answering question 9 on this line, go to line 15 on page 7.

10 If you answer "No" to question 8, indicate the public charity classification the organization is requesting by checking the box below that most appropriately applies:

THE ORGANIZATION IS NOT A PRIVATE FOUNDATION BECAUSE IT QUALIFIES:

a ☐ As a church or a convention or association of churches
(CHURCHES MUST COMPLETE SCHEDULE A.)

Sections 509(a)(1)
and 170(b)(1)(A)(i)

b ☐ As a school (MUST COMPLETE SCHEDULE B.)

Sections 509(a)(1)
and 170(b)(1)(A)(ii)

c ☐ As a hospital or a cooperative hospital service organization, or a medical research organization operated in conjunction with a hospital (MUST COMPLETE SCHEDULE C.)

Sections 509(a)(1)
and 170(b)(1)(A)(iii)

d ☐ As a governmental unit described in section 170(c)(1).

Sections 509(a)(1)
and 170(b)(1)(A)(v)

e ☐ As being operated solely for the benefit of, or in connection with, one or more of the organizations described in a through d, g, h, or i (MUST COMPLETE SCHEDULE D.)

Section 509(a)(3)

f ☐ As being organized and operated exclusively for testing for public safety.

Section 509(a)(4)

g ☐ As being operated for the benefit of a college or university that is owned or operated by a governmental unit.

Sections 509(a)(1)
and 170(b)(1)(A)(iv)

h ☒ As receiving a substantial part of its support in the form of contributions from publicly supported organizations, from a governmental unit, or from the general public.

Sections 509(a)(1)
and 170(b)(1)(A)(vi)

i ☐ As normally receiving not more than one-third of its support from gross investment income and more than one-third of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions (subject to certain exceptions).

Section 509(a)(2)

j ☐ The organization is a publicly supported organization but is not sure whether it meets the public support test of block h or block i. The organization would like the IRS to decide the proper classification.

Sections 509(a)(1)
and 170(b)(1)(A)(vi)
or Section 509(a)(2)

If you checked one of the boxes a through f in question 10, go to question

15. If you checked box g in question 10, go to questions 12 and 13.

If you checked box h, i, or j, in question 10, go to question 11.

Part III Technical Requirements (Continued)

- 11 If you checked box h, i, or j in question 10, has the organization completed a tax year of at least 8 months?
- ☐ Yes—Indicate whether you are requesting:
- ☐ A definitive ruling (Answer questions 12 through 15.)
- ☐ An advance ruling (Answer questions 12 and 15 and attach two Forms 872-C completed and signed.)
- ☒ No—You must request an advance ruling by completing and signing two Forms 872-C and attaching them to the application.

- 12 If the organization received any unusual grants during any of the tax years shown in Part IV-A, attach a list for each year showing the name of the contributor; the date and the amount of the grant; and a brief description of the nature of the grant.

N/A

- 13 If you are requesting a definitive ruling under section 170(b)(1)(A)(iv) or (vi), check here ☐ and:

a Enter 2% of line 8, column (e), Total, of Part IV-A.

N/A

b Attach a list showing the name and amount contributed by each person (other than a governmental unit or "publicly supported" organization) whose total gifts, grants, contributions, etc., were more than the amount entered on line 13a above.

- 14 If you are requesting a definitive ruling under section 509(a)(2), check here ☐ and:

a For each of the years included on lines 1, 2, and 9 of Part IV-A, attach a list showing the name of and amount received from each "disqualified person." (For a definition of "disqualified person," see Specific Instructions, Part II, Line 4d, on page 3.)

b For each of the years included on line 9 of Part IV-A, attach a list showing the name of and amount received from each payer (other than a "disqualified person") whose payments to the organization were more than \$5,000. For this purpose, "payer" includes, but is not limited to, any organization described in sections 170(b)(1)(A)(i) through (vi) and any governmental agency or bureau.

- 15 Indicate if your organization is one of the following. If so, complete the required schedule. (Submit only those schedules that apply to your organization. Do not submit blank schedules.)

Yes	No	If "Yes," complete Schedule:
	X	A
	X	B
	X	C
	X	D
	X	E
	X	F
	X	G
	X	H
	X	I

Is the organization a church?

Is the organization, or any part of it, a school?

Is the organization, or any part of it, a hospital or medical research organization?

Is the organization a section 509(a)(3) supporting organization?

Is the organization a private operating foundation?

Is the organization, or any part of it, a home for the aged or handicapped?

Is the organization, or any part of it, a child care organization?

Does the organization provide or administer any scholarship benefits, student aid, etc.?

Has the organization taken over, or will it take over, the facilities of a "for profit" institution? . . .

Part IV Financial Data

Complete the financial statements for the current year and for each of the 3 years immediately before it. If in existence less than 4 years, complete the statements for each year in existence. If in existence less than 1 year, also provide proposed budgets for the 2 years following the current year.

A. Statement of Revenue and Expenses

		Current tax year	3 prior tax years or proposed budget for 2 years			(e) TOTAL
		(a) From 4/97 to 12/97	(b) 1998	(c) 1999	(d) 19	
Revenue	1 Gifts, grants, and contributions received (not including unusual grants—see pages 5 and 6 of the instructions)	3,227,500	3,227,500	3,227,500		9,682,500
	2 Membership fees received	0	0	0		0
	3 Gross investment income (see instructions for definition)	0	0	0		0
	4 Net income from organization's unrelated business activities not included on line 3	0	0	0		0
	5 Tax revenues levied for and either paid to or spent on behalf of the organization	0	0	0		0
	6 Value of services or facilities furnished by a governmental unit to the organization without charge (not including the value of services or facilities generally furnished the public without charge)	0	0	0		0
	7 Other income (not including gain or loss from sale of capital assets) (attach schedule)	0	0	0		0
	8 Total (add lines 1 through 7)	3,227,500	3,227,500	3,227,500		9,682,500
	9 Gross receipts from admissions, sales of merchandise or services, or furnishing of facilities in any activity that is not an unrelated business within the meaning of section 513. Include related cost of sales on line 22	0	0	0		0
	10 Total (add lines 8 and 9)	3,227,500	3,227,500	3,227,500		9,682,500
Expenses	11 Gain or loss from sale of capital assets (attach schedule)	0	0	0		0
	12 Unusual grants	0	0	0		0
	13 Total revenue (add lines 10 through 12)	3,227,500	3,227,500	3,227,500		
	14 Fundraising expenses	21,000	21,000	21,000		
	15 Contributions, gifts, grants, and similar amounts paid (attach schedule)	100,000	3,000,000	3,000,000		
	16 Disbursements to or for benefit of members (attach schedule)	0	0	0		
	17 Compensation of officers, directors, and trustees (attach schedule)	0	0	0		
	18 Other salaries and wages	0	55,000	55,000		
	19 Interest	0	0	0		
	20 Occupancy (rent, utilities, etc.)	0	12,463	12,463		
	21 Depreciation and depletion	0	0	0		
	22 Other (attach schedule)	0	86,130	86,130		
	23 Total expenses (add lines 14 through 22)	121,000	3,174,593	3,174,593		
	24 Excess of revenue over expenses (line 13 minus line 23)	3,106,500	52,907	52,907		

Part IV Financial Data (Continued)

B. Balance Sheet (at the end of the period shown)		Current tax year Date
Assets		
1	Cash	1 3,044,261
2	Accounts receivable, net	2 40,000
3	Inventories	3 0
4	Bonds and notes receivable (attach schedule)	4 0
5	Corporate stocks (attach schedule)	5 0
6	Mortgage loans (attach schedule)	6 0
7	Other investments (attach schedule)	7 0
8	Depreciable and depletable assets (attach schedule)	8 0
9	Land	9 0
10	Other assets (attach schedule)	10 0
11	Total assets (add lines 1 through 10)	11 3,084,261
Liabilities		
12	Accounts payable	12 0
13	Contributions, gifts, grants, etc., payable	13 0
14	Mortgages and notes payable (attach schedule)	14 0
15	Other liabilities (attach schedule)	15 0
16	Total liabilities (add lines 12 through 15)	16 0
Fund Balances or Net Assets		
17	Total fund balances or net assets	17 3,084,261
18	Total liabilities and fund balances or net assets (add line 16 and line 17)	18 3,084,261

If there has been any substantial change in any aspect of the organization's financial activities since the end of the period shown above, check the box and attach a detailed explanation ☐

**User Fee for Exempt Organization
Determination Letter Request**

▶ Attach this form to determination letter application.
(Form 8718 is NOT a determination letter application.)

For IRS Use Only

Control number _____
Amount paid _____
User fee screener _____

1 Name of organization

Los Alamos National Laboratory Foundation

2 Employer Identification Number

74 : 285-3972

Caution: Do not attach Form 8718 to an application for a pension plan determination letter. Use Form 8717 instead.

3 Type of request

Fee

a ☐ Initial request for a determination letter for:

- An exempt organization that has had annual gross receipts averaging not more than \$10,000 during the preceding 4 years, or

- A new organization that anticipates gross receipts averaging not more than \$10,000 during its first 4 years ▶ **\$150**

Note: If you checked box 3a, you must complete the Certification below.

Certification

I certify that the annual gross receipts of _____
name of organization

have averaged (or are expected to average) not more than \$10,000 during the preceding 4 (or the first 4) years of operation.

Signature ▶

Title ▶

b ☒ Initial request for a determination letter for:

- An exempt organization that has had annual gross receipts averaging more than \$10,000 during the preceding 4 years, or

- A new organization that anticipates gross receipts averaging more than \$10,000 during its first 4 years ▶ **\$465**

c ☐ Group exemption letters ▶ **\$500**

Instructions

The law requires payment of a user fee with each application for a determination letter. The user fees are listed on line 3 above. For more information, see Rev. Proc. 96-8, 1996-1 I.R.B. 187.

Check the box on line 3 for the type of application you are submitting. If you check box 3a, you must complete and sign the certification statement that appears under line 3a.

Attach to Form 8718 a check or money order payable to the Internal Revenue Service for the full amount of the user fee. If you do not include the full amount, your application will be returned. Attach Form 8718 to your determination letter application.

To avoid delays, send the determination letter application and

Form 8718 to the applicable IRS address shown below. Use the address below even if a different address appears in another form or publication.

If the organization is in

Send fee and request for determination letter to

Connecticut, Maine, Massachusetts, New Hampshire, New York, Rhode Island, Vermont

Internal Revenue Service
EP/EO Division
P. O. Box 1680, GPO
Brooklyn, NY 11202

Delaware, District of Columbia, Maryland, New Jersey, Pennsylvania, Virginia, any U.S. possession or foreign country

Internal Revenue Service
EP/EO Division
P. O. Box 17010
Baltimore, MD 21203

Indiana, Kentucky, Michigan, Ohio, West Virginia

Internal Revenue Service
P. O. Box 192
Covington, KY
41012-0192

Arizona, Colorado, Kansas, Oklahoma, New Mexico, Texas, Utah, Wyoming

Internal Revenue Service
EP/EO Division
Mail Code 4950 DAL
1100 Commerce Street
Dallas, TX 75242

Alabama, Arkansas, Florida, Georgia, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee

Internal Revenue Service
EP/EO Division
P.O. Box 941
Atlanta, GA 30370

Alaska, California, Hawaii, Idaho, Nevada, Oregon, Washington

Internal Revenue Service
EO Application
EP/EO Division
McCaslin Industrial Park
2 Cupania Circle
Monterey Park, CA
91755-7406

Illinois, Iowa, Minnesota, Missouri, Montana, Nebraska, North Dakota, South Dakota, Wisconsin

Internal Revenue Service
EP/EO Division
230 S. Dearborn
DPN 20-5
Chicago, IL 60604

Wells Fargo Bank

150 WASHINGTON AVENUE SANTA FE, NM 87501

3800

91-119
1221(1)

DATE *10/10/97*

PAY TO THE ORDER OF

INTERNAL REVENUE SERVICE \$ *\$465.00*

FOUR HUNDRED AND SIXTY-FIVE DOLLARS AND NO CENTS DOLLARS

F. CHRISTOPHER OLIVERA
727 MONTEZ PLACE
SANTA FE, NM 87501

EIN: *74-285-3972*

LANL FOUNDATION

F. Christopher Olivera

⑆ 122101 191 ⑆ 3800 0849 898218 ⑈



SUPPLEMENTAL INFORMATION TO FORM 1023

FOR: LOS ALAMOS NATIONAL LABORATORY FOUNDATION
1350 CENTRAL AVENUE, SUITE 101
LOS ALAMOS, NM 87544

EIN: 74-285-3972

INFORMATION ADDRESSED HEREIN:

- PART II, ACTIVITIES AND OPERATIONAL INFORMATION
LINES ONE, TWO AND THREE
- PART II, ACTIVITIES AND OPERATIONAL INFORMATION
LINE FOUR
- PART IV FINANCIAL DATA
LINES 15 AND 22

PART II, LINE ONE:

NARRATIVE OF ACTIVITIES OF THE ORGANIZATION

The Foundation will concentrate on grantmaking activities: directing funds towards educational enrichment, educational outreach, and community outreach initiatives. Funds may also be directed to selected cultural and informal educational activities.

Grantmaking activities and programs will be implemented in the Spring of 1998 (February or March). Grantmaking activities of the Foundation will be governed by a Resource Allocation Committee comprised of Board members, as well as business leaders, education leaders, and community-minded individuals that reside and /or are employed in northern New Mexico (the counties of Los Alamos, Santa Fe, Taos, San Miguel, Rio Arriba, Mora, and Sandoval, as well as Pueblo communities in northern New Mexico).

A volunteer Resource Allocation Committee will manage the allocation process and its programs, maintaining responsibility for developing and implementing guidelines for giving, establishing the Foundation's giving schedule, developing and launching the application or proposal process, as well as making recommendations to the Board of Directors on giving priorities. The Board of Directors (a volunteer group) will make the final decision on allocation of funds through the three grantmaking programs noted below.

The Board of Directors, as well as the Resource Allocation Committee and Resource Development Committees of the Board, will make their home at 1350 Central Avenue, Suite 101, Los Alamos, New Mexico.

The estimated percentage of time spent by the Board, Resource Allocation Committee, and Resource Development Committee on each of the programs noted below is

- Regional Educational Enrichment Grant Program, 30 percent.
- Educational Outreach Grant Program, 25 percent.
- Community Outreach Grant Program, 25 percent.

The remaining time, 20 percent, will be spent on resource development activities, to include special events fundraising and general grant coordination.

PRIORITIES FOR GIVING

A. Regional Educational Enrichment Grant Program

The Foundation will provide educational enrichment support to regional school districts in the New Mexico counties of Los Alamos, Santa Fe, Taos, Mora, San Miguel, Rio Arriba, and Sandoval, as well as Pueblo communities in northern New Mexico for the purpose of supplementing the educational programs of these districts and maintaining a level of educational excellence.

ELIGIBILITY

For a school district to be eligible, it must be located in one of the communities mentioned above; propose a suitable enrichment program for full or partial funding; and file an annual report with the Foundation documenting the results of such programs.

FUNDING LEVELS

The total level of enrichment funding from the Foundation to the eligible school districts shall be determined by the Board of Directors of the Foundation (the Board) with the objective of maintaining sustained, steady levels of funding from year to year. Payments shall be allocated on an annual basis to eligible school districts, which submit suitable proposals, in proportion to the fraction of the Los Alamos National Laboratory workforce who reside in each eligible school district. The Foundation will endeavor to identify and commit such funding sufficiently far in advance to enable the school districts to budget for such funding in the course of their ordinary budget cycle.

B. Educational Outreach Grant Program

The Foundation is interested in funding regional educational outreach programs which focus on practical education programs for New Mexico. For this program, the Foundation is seeking proposals that meet one or more of the following criteria:

- promotes a better match between educational offerings and regional workforce skills needs
- provides high-quality and cost-effective teacher training and ongoing support;
- increases student participation in mathematics and science;
- leverages other funding sources, e.g., other foundations, businesses, NM State Department of Education

- builds sustainable infrastructure that can/will continue after the funding period is over;
- builds capacity in rural communities;
- contains replicable processes that can be transferred to other schools if successful;
- leads to new or improved educational technologies;
- leads to curriculum enhancement;
- increases public understanding of science;
- increases the number of under-represented minorities, women, and people with disabilities entering technical careers.

Reasonable equipment requests will be considered under this program. Support for capital construction projects will normally not be considered.

ELIGIBILITY

- Non-profit, 501 (c)(3), educational institutions in the State of New Mexico.

FUNDING LEVELS

The Foundation Board has authorized the expenditure of funds for educational outreach activities in the State of New Mexico. Preference will be accorded programs that focus on the 7 counties in northern New Mexico, i.e, Los Alamos, Rio Arriba, Santa Fe, Taos, Mora, San Miguel, and Sandoval, and the regional Pueblos. Grant requests should be in the range of \$1,000 to \$50,000. Partial awards may be made.

C. Community Outreach Grant Program

The Foundation has a strong interest in enhancing the quality of life in the communities of northern New Mexico (the 7 counties in northern New Mexico, i.e, Los Alamos, Rio Arriba, Santa Fe, Taos, Mora, San Miguel, and Sandoval, and the regional Pueblos). Our intent is to create strong partnerships with our local non-profits and provide grants with greater community impact. In this area, the Foundation is seeking proposals that meet the following criteria (equal priority):

- Projects where the Foundation grant
 - will be the last dollars needed to complete a project, or
 - will pay for a complete project;
- Projects that meet a critical need in the community;
- Projects that will enhance economic development or community improvement;

- Projects that demonstrate a wide range of community support;
- Projects that benefit a large number of people;
- Projects that result in a tangible product with which the Foundation can be positively identified with such as:
 - community marketing brochures
 - youth-oriented community projects

ELIGIBILITY

- Collaboration of one or more organizations with the Foundation are preferred. The lead organization must be a current charitable 501(c)(3) organization in good standing as classified by the IRS.
- Collaborators must be located within the northern NM region as defined above.

FUNDING LEVELS

Grant requests should be in the range of \$1,000 to \$50,000. Partial awards may be made.

GENERAL EXCLUSIONS FOR ALL GRANT MAKING PROGRAMS

In order to direct our resources towards projects and programs that are within our scope of interest, the Foundation does not normally contribute to:

- individuals;
- fraternal, veteran, labor, ethnic, athletic, or religious organizations serving a *limited* constituency;
- political or lobbying organizations, or those supporting the candidacy of a particular individual;
- organizations whose activities are mainly international;
- national health organizations or their local chapters;
- specific disease organizations, e.g., the National Cancer Society;
- capital fund drives of colleges and universities;
- private foundations

PART II, LINE TWO:

WHAT ARE THE ORGANIZATION'S SOURCES OF FINANCIAL SUPPORT?

The organization's principle source of committed funds include the following:

- **US Department of Energy.** Up to three million dollars per calendar year for each of the next five years.
- **Regents of University of California.** Up to one million dollars per calendar year for each of the next five years.

PART II, LINE THREE:

DESCRIBE THE ORGANIZATION'S FUNDRAISING PROGRAM, BOTH ACTUAL AND PLANNED

The Foundation Board will maintain a Resource Development Committee to manage a fund development program for the organization.

Fund Development Activity in Calendar Year 1997

In August 1997, the Foundation Board introduced the organization to the local community, as well as invited 400 business partners of the Los Alamos National Laboratory to join the Board at a benefit dinner. The event was billed as the "First Annual Corporate Foundation Dinner." Solicitation efforts for this event focused on one direct mail campaign to the above noted audiences. The direct mail solicitation attached is representative of the type of current and future solicitations the Foundation Board and its Resource Development Committee will develop.

Proposed Fund Development Activities in Calendar Year 1998

In October of 1997, the Board formed a volunteer-managed, Resource Development Committee comprised of Board members, as well as business leaders, education leaders, and community-minded individuals that are employed and /or reside in northern New Mexico (the New Mexico counties of Los Alamos, Santa Fe, Taos, San Miquel, Rio Arriba, Mora, and Sandoval, as well as Pueblo communities in northern New Mexico). The Committee developed a draft Resource Development Plan.

In summary below, the Plan outlines volunteer-directed special event fundraising projects.

- **Golf Tournament**

Projected Date: May 1998

Location: Los Alamos, New Mexico

Principle solicitation method: Direct mail

Target donor segments: Residents and/or employees located in northern New Mexico (Los Alamos, Santa Fe, Taos, San Miquel, Rio Arriba, Mora, and Sandoval counties).

- Annual Corporate Foundation Dinner

Projected date: August 1998

Location: Santa Fe, New Mexico

Principle solicitation method: Direct mail

Target donor segments: Corporate and business entities located or doing business in northern New Mexico.

- Annual Skiesta (Ski Challenge)

Projected Date: December 1998

Location : Los Alamos, New Mexico

Principle solicitation method: Direct mail

Target donor segments: Residents and/or employees located in northern New Mexico (Los Alamos, Santa Fe, Taos, San Miguel, Rio Arriba, Mora, and Sandoval counties).

Proposed Fund Development Activities in Calendar Year 1999

Fund development activities in this year reflect fund development activities as outlined in 1998.

PART II. LINE FOUR:

**NAMES, ADDRESSES, AND TITLES OF OFFICERS, DIRECTORS, TRUSTEES,
ETC.**

Foundation Board of Directors

The mailing address for all members is Mail Stop C333, Los Alamos, New Mexico 87544. All members of the Board are uncompensated.

Below is a listing of each member and their professional affiliation.

Leroy E. Apodaca

Director

Community Involvement and Outreach

Los Alamos National Laboratory

Thomas A. Garcia

Director

Institutional Development

Los Alamos National Laboratory

S.S. Hecker

Director

Los Alamos National Laboratory

Allan F. Johnston

Comptroller

Los Alamos National Laboratory

Alfred P. Sattelberger

Director

Science- and Technology-Based Programs

Los Alamos National Laboratory

Sigfredo Maestas

President

Northern New Mexico Community College

Robert N. Shelton
Vice Provost for Research
University of California, Office of the President

Christina Sierk
President, Los Alamos School Board

Martin E. Strones
Vice President and General Manager
Protection Technology, Los Alamos

Officer of the Foundation
F. Christopher Olivera
Foundation Director
1350 Central Avenue, Suite 101
Los Alamos, New Mexico 87544
505/665-3908

Officers of the Foundation are uncompensated in calendar year 1997.

PART IV, LINE 15:

CONTRIBUTIONS, GIFTS, GRANTS, AND SIMILAR AMOUNTS PAID

The following is a summary of projected contributions to be made to 501(c)(3) organizations.

Calendar year 1997 ***

<u>Recipient</u>	<u>Purpose</u>	<u>Amount</u>
United Way of Los Alamos	General operating budget	\$100,000.

Total project contributions: \$100,000.

Calendar year 1998

<u>Recipient</u>	<u>Purpose</u>	<u>Amount</u>
Los Alamos School District	General operating budget	\$400,000.
Santa Fe Public Schools	General operating budget	\$400,000.
Rio Arriba School District	General operating budget	\$200,000.
Taos Public School System	General operating budget	\$200,000.
United Way of Los Alamos	General operating budget	\$200,000.
University of New Mexico	Engineering program	\$100,000.
University of New Mexico, Los Alamos	Library program	\$100,000.
University of New Mexico, Taos	Cultural arts program	\$50,000.
Northern New Mexico Community College	Science laboratory supplies	\$50,000.
Santa Fe Community College	Science laboratory supplies	\$50,000.
College of Santa Fe	Science laboratory supplies	\$50,000.
New Mexico State University	Engineering program	\$50,000.
New Mexico Highlands University	Engineering program	\$50,000.
St. John's College	Public education program	\$50,000.
Albuquerque Museum	Public education program	\$50,000.
Abq. Museum of Natural History	Public education program	\$50,000.
Child-Rite	Computer equipment	\$50,000.
Hispano Chamber of Commerce	Economic development program	\$50,000.
Los Alamos Chamber of Commerce	Public education materials	\$50,000.
Los Alamos Economic Development Corp.	Economic development project	\$50,000.
Espanola Chamber of Commerce	Public education materials	\$50,000.

Taos Chamber of Commerce	Economic Development program	\$50,000.
Santa Fe Chamber of Commerce	Public education project	\$50,000.
Site Santa Fe	Public education program	\$50,000.
Pueblo of Santa Claire	Books for day school students	\$50,000.
Pueblo of Tesuque	Books for day school students	\$50,000.
Pueblo of San Idelfonso	Books for day school students	\$50,000.
Pueblo of Taos	Books for day school students	\$50,000.
Pueblo of San Juan	Books for day school students	\$50,000.
Partners-In Education	Computer equipment	\$50,000.
Los Alamos Arts Council	Public education program	\$50,000.
Santa Fe Opera	Youth ed. outreach program	\$50,000.
Museum of New Mexico	Youth ed. outreach program	\$50,000.
Ganados del Valle	Education outreach conference	\$50,000.
Millicent Rogers Museum	Education outreach program	\$50,000.

Total projected contributions: \$3,000,000.

Calendar year 1999

<u>Recipient</u>	<u>Purpose</u>	<u>Amount</u>
Los Alamos School District	General operating budget	\$400,000.
Santa Fe Public Schools	General operating budget	\$400,000.
Rio Arriba School District	General operating budget	\$200,000.
Taos Public School System	General operating budget	\$200,000.
United Way of Los Alamos	General operating budget	\$200,000.
University of New Mexico	Engineering program	\$100,000.
University of New Mexico, Los Alamos	Library program	\$100,000.
University of New Mexico, Taos	Cultural arts program	\$50,000.
Northern New Mexico	Science laboratory supplies	\$50,000.
Community College		
Santa Fe Community College	Science laboratory supplies	\$50,000.
College of Santa Fe	Science laboratory supplies	\$50,000.
New Mexico State University	Engineering program	\$50,000.
New Mexico Highlands University	Engineering program	\$50,000.
St. John's College	Public education program	\$50,000.
Albuquerque Museum	Public education program	\$50,000.

Abq. Museum of Natural History	Public education program	\$50,000.
Child-Rite	Computer equipment	\$50,000.
Hispano Chamber of Commerce	Economic development program	\$50,000.
Los Alamos Chamber of Commerce	Public education materials	\$50,000.
Los Alamos Economic Development Corp.	Economic development project	\$50,000.
Espanola Chamber of Commerce	Public education materials	\$50,000.
Taos Chamber of Commerce	Economic Development program	\$50,000.
Santa Fe Chamber of Commerce	Public education project	\$50,000.
Site Santa Fe	Public education program	\$50,000.
Pueblo of Santa Clara	Books for day school students	\$50,000.
Pueblo of Tesuque	Books for day school students	\$50,000.
Pueblo of San Idelfonso	Books for day school students	\$50,000.
Pueblo of Taos	Books for day school students	\$50,000.
Pueblo of San Juan	Books for day school students	\$50,000.
Partners-In Education	Computer equipment	\$50,000.
Los Alamos Arts Council	Public education program	\$50,000.
Santa Fe Opera	Youth ed. outreach program	\$50,000.
Museum of New Mexico	Youth ed. outreach program	\$50,000.
Ganados del Valle	Education outreach conference	\$50,000.
Millicent Rogers Museum	Education outreach program	\$50,000.

Total projected contributions: \$3,000,000.

*** The organization's fund allocation process (noted above in "PART II, LINE ONE: NARRATIVE OF ACTIVITIES OF THE ORGANIZATION") will not fully be implemented until February or March of 1998.

PART 1V, LINE 22:

OTHER EXPENSES

Below is a summary of projected operating expenses for tax years 1998.

Accounting services	5,050.00
Advertising	4,575.00
Board meeting supplies	650.00
Board Training	2,000.00
Council on Foundations membership	620.00
Computers: Hardware	10,500.00
Computers: Software	7,800.00
Dues/memberships	800.00
Equipment: Lease	3,000.00
Equipment: Purchase	300.00
Furniture: Large	12,500.00
Furniture: Small	400.00
Hospitality	275.00
Insurance: Liability	800.00
Mail Meters: Pitney Bowes	525.00
Meetings: Misc.	250.00
Office supplies	6,300.00
Postage	3,135.00
Photocopies: oversized	700.00
Printing: Annual Report	3,000.00
Printing: General business	2,500.00
Printing: Newsletter	500.00
Printing: Press packages	200.00
Professional services: Legal	10,000.00
Public relations	300.00
Repairs and maintenance	300.00
Subscriptions	650.00
Telephone	1,800.00
Travel expenses (staff)	3,100.00
Web-site: development/management	3,000.00

TOTAL 86,130.00

Below is a summary of projected operating expenses for tax years 1999.

Accounting services	5,050.00
Advertising	4,575.00
Board meeting supplies	650.00
Board Training	2,000.00
Council on Foundations membership	620.00
Computers: Hardware	10,500.00
Computers: Software	7,800.00
Dues/memberships	800.00
Equipment: Lease	3,000.00
Equipment: Purchase	300.00
Furniture: Large	12,500.00
Furniture: Small	400.00
Hospitality	275.00
Insurance: Liability	800.00
Mail Meters: Pitney Bowes	525.00
Meetings: Misc.	250.00
Office supplies	6,300.00
Postage	3,135.00
Photocopies: oversized	700.00
Printing: Annual Report	3,000.00
Printing: General business	2,500.00
Printing: Newsletter	500.00
Printing: Press packages	200.00
Professional services: Legal	10,000.00
Public relations	300.00
Repairs and maintenance	300.00
Subscriptions	650.00
Telephone	1,800.00
Travel expenses (staff)	3,100.00
Web-site: development/management	3,000.00
TOTAL	86,130.00

*The Officers and Board of Directors of the
Los Alamos National Laboratory Foundation
cordially invite you to join them
in celebrating the launch of the foundation
at a benefit banquet on Friday, August 15, 1997,
at the Santa Fe Hilton Hotel,
Santa Fe, New Mexico.*

*Cocktails: 6:00 to 7:00 p.m.
Dinner: 7:00 p.m.*

Corporate Table Sponsorships

*Gold: \$20,000 or more.
Silver: \$10,000 to \$15,000.
Bronze: \$5,000 to \$10,000.*

*For additional information or to RSVP,
contact Chris Olivera,
Los Alamos National Laboratory Foundation,
(505)665-3908 or by e-mail at foundation@lanl.gov.*

**Los Alamos National Laboratory Foundation
Benefit Banquet August 15, 1997**

Corporate Table Sponsorship Card

☐ Yes, our Corporation is pleased to support the Los Alamos National Laboratory Foundation.

Our corporate sponsorship level is

- ☐ Gold: \$20,000 or more.
☐ Silver: \$10,000 to \$15,000.
☐ Bronze: \$5,000 to \$10,000.

☐ Please bill me for our sponsorship at the level noted above.

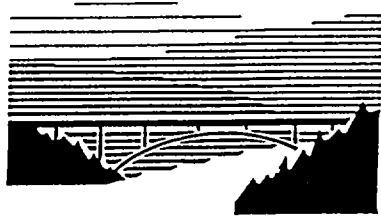
Name of Company _____

Name of Contact Person _____

Contact Telephone Number _____

Company Address _____

For additional information or other giving options, please contact Chris Olivera at (505)665-3908.



Los Alamos National Laboratory Foundation

Monday, July 7, 1997

Dear Corporate Partner of the Los Alamos National Laboratory:

You are no doubt aware that our long-term success is closely linked to our ability to gain recognition as a good corporate citizen of Northern New Mexico. However, a key constraint that the Laboratory faces in meeting its corporate citizenship goals is statutory limitations on the use of funds allocated for programmatic purposes. Therefore, the Laboratory created a philanthropic entity known as the Los Alamos National Laboratory Foundation. The Foundation will foster and manage gift and grant support, assisting in the promotion and financial support of educational and public service activities in Northern New Mexico.

The Foundation is organized and operated as a public benefit corporation; governed by a board of trustees with representatives from Laboratory management, its corporate partners, and the regional community. One function of the Foundation will be to implement a focused program of community investments designed to meet relevant educational and social needs of communities in Los Alamos, Mora, Rio Arriba, Sandoval, San Miguel, Santa Fe, and Taos counties. Proposed focus areas include: formal and informal education, especially math and science literacy; health and human services; youth leadership (including scholarships); and civic advancement and partnership.

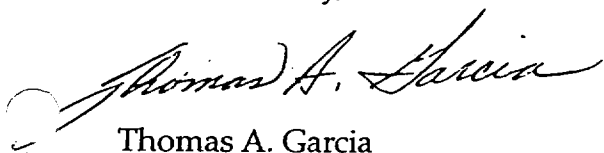
The Foundation will be launched with a fund-raising banquet to be held the evening of August 15, 1997, at the Santa Fe Hilton Hotel. In view of your organization's well-known interest in promoting closer ties between the Laboratory, our corporate partners, and neighboring communities, I would like to invite your company to make a donation to the new Foundation by buying a table at this event for your company and its guests. Tables will seat eight people. Participation will be possible at three levels: the Gold Level requires a donation of \$20,000 or more per table; the Silver Level requires a \$10,000 to \$15,000 donation per table; and the Bronze Level requires a \$5,000 to \$10,000 per table donation. All donors will be suitably recognized at the event. Donors will also be recognized when funds are disbursed for specific projects that have been funded by their donations.

Federico Peña, the Secretary of Energy, has been invited to be the keynote speaker, and Archbishop Michael J. Sheehan has been asked to give the invocation. In addition, a number of prominent New Mexico leaders have been asked to serve as Honorary Co-Chairs of this event, including Senator Pete Domenici, Senator Jeff Bingaman, Rep. Bill Redmond, Gov. Gary Johnson, President Pro Tem Manny Aragon, and Speaker of the House Raymond Sanchez.

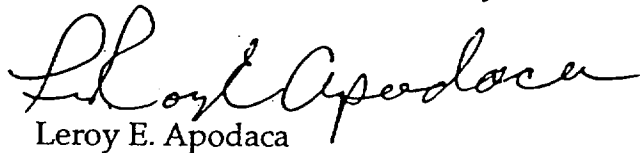
Please let us know by July 29, 1997 if you will be able to accept this invitation and which level table we should reserve for your company. If you have any questions, please don't hesitate to contact Christopher Olivera at (505) 665-3908, or by E-mail at foundation@lanl.gov. We look forward to seeing you on August 15th!

With best personal regards,

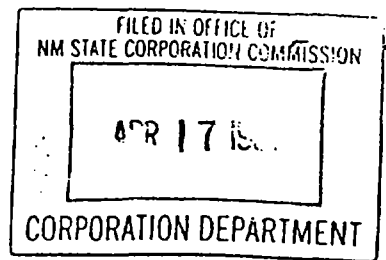
Yours sincerely,



Thomas A. Garcia
President
Los Alamos National Laboratory Foundation



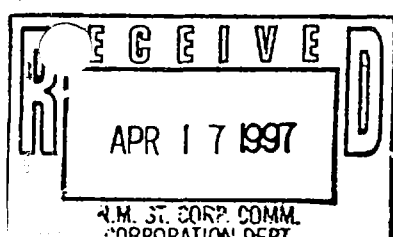
Leroy E. Apodaca
Vice President and Chairman, Resource Development Committee
Los Alamos National Laboratory Foundation



ARTICLES OF INCORPORATION

LOS ALAMOS NATIONAL LABORATORY FOUNDATION

- ONE: The name of this corporation is the Los Alamos National Laboratory Foundation (hereinafter referred to as the Foundation).
- TWO: The Foundation is a nonprofit corporation and is not organized for the private gain of any person. It is organized for charitable, educational and other lawful purposes consistent with and under the New Mexico Nonprofit Corporation Act. In particular, the Foundation is organized for the purpose of receiving and administering gifts and grants dedicated to the support of charitable and educational public service activities in Northern New Mexico.
- THREE: The duration of the Foundation shall be indefinite.
- FOUR: The name of the initial registered agent and the address of the initial registered office of the Foundation are as follows:
- F. Christopher Olivera
Los Alamos National Laboratory Foundation
1350 Central Avenue, Suite 101
Los Alamos, New Mexico 87544.
- FIVE: (a) The Foundation is organized and operated exclusively for charitable and educational purposes within the meaning of Section 501(c)(3) of the Internal Revenue Code.
- (b) Notwithstanding any other provision of these Articles, the Foundation shall not carry on any activities not permitted to be carried on:
- (1) by a corporation exempt from federal income tax under Section 501(a) of the Internal Revenue Code as an organization described in Section 501(c)(3) of the Internal Revenue Code; or
- (2) by a corporation, contributions to which are deductible under Section 170(c)(2) of the Internal Revenue Code.



(c) No part of the activities of the Foundation shall consist of carrying on propaganda, or otherwise attempting to influence legislation, and the Foundation shall not participate or intervene in any political campaign (including the publishing or distribution of statements) on behalf of, or in opposition to, any candidate for public office.

SIX: The Foundation shall have no capital stock and the directors, officers and employees of the Foundation shall not be liable for the obligations of the Foundation.

SEVEN: No part of the net earnings, gains or assets of the Foundation shall inure to the benefit of or be distributable to its Directors, officers, other private individuals, or organizations organized for profit, except that the Foundation shall be authorized and empowered to pay reasonable compensation for services rendered and to make payments and distributions in furtherance of the purposes stated above.

EIGHT: The Board of Directors may adopt bylaws and from time to time amend the same.

NINE: In the event of dissolution or termination, all remaining property and assets of the Foundation, after necessary expenses thereof, shall be distributed to an organization or organizations exempt from federal income taxation under Section 501(a) of the Internal Revenue Code as organization(s) described in Section 501(c)(3) of such Code, with a preference for an organization that is located in New Mexico.

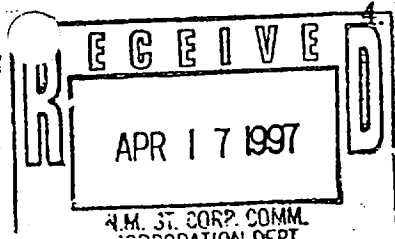
TEN: The number of Directors constituting the first Board of Directors of this Foundation is nine (9). The names and addresses of the Directors constituting the first Board of Directors are:

1. Siegfried S. Hecker, Los Alamos National Laboratory, Post Office Box 1663, Mail Stop A100, Los Alamos, New Mexico, 87545.

2. Thomas A. Garcia, Los Alamos National Laboratory, Post Office Box 1663, Mail Stop A113, Los Alamos, New Mexico, 87545.

3. Allan F. Johnston, Los Alamos National Laboratory, Post Office Box 1663, Mail Stop P119, Los Alamos, New Mexico, 87545.

4. William R. Hughes, Jr., Post Office Box 4695, Los Alamos, NM 87544.



5. Leroy E. Apodaca, Los Alamos National Laboratory, Post Office Box 1663, Mail Stop C117, Los Alamos, New Mexico 87545

6. Dr. Sigfredo Maestas, Northern New Mexico Community College, 921 Paseo de Onate, Espanola, NM 87532

7. Robert N. Shelton, University of California, Office of the President, 300 Lakeside Drive, Oakland, CA 94612-3550

8. Christina N. Sierk, 4640 Ridgeway Drive, Los Alamos, NM 87544

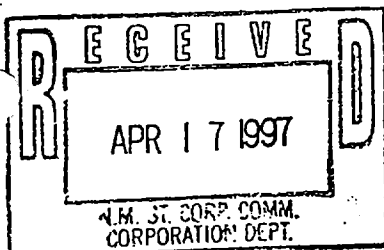
9. Martin E. Strones, Protection Technology Los Alamos, Mail Stop G724, Los Alamos National Laboratory, Los Alamos, NM 87545

Each of the foregoing shall serve until his or her successor is duly appointed and approved.

ELEVEN: The name and address of the incorporator is:

F. Christopher Olivera
Los Alamos National Laboratory Foundation
1350 Central Avenue, Suite 101
Los Alamos, New Mexico 87544.

Signed: *F. Christopher Olivera* Date: *4-17-97*
F. Christopher Olivera (*fcoliver*)



STATE OF NEW MEXICO



OFFICE OF
THE STATE CORPORATION COMMISSION

CERTIFICATE OF INCORPORATION

OF

LOS ALAMOS NATIONAL LABORATORY FOUNDATION

1858653

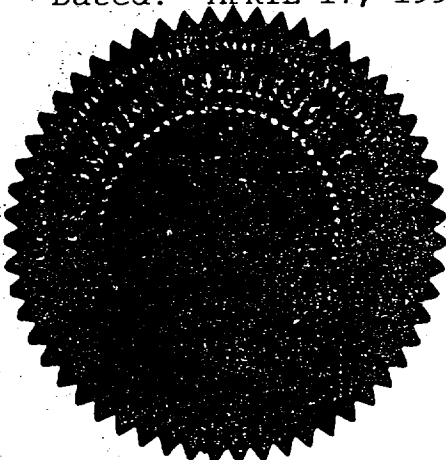
The State Corporation Commission certifies that duplicate originals of the Articles of Incorporation attached hereto, duly signed and verified pursuant to the provisions of the
NONPROFIT CORPORATION ACT

(53-8-1 to 53-8-99 NMSA 1978)

have been received by it and are found to conform to law.

Accordingly, by virtue of the authority vested in it by law, the State Corporation Commission issues this Certificate of Incorporation and attaches hereto a duplicate original of the Articles of Incorporation.

Dated: APRIL 17, 1997



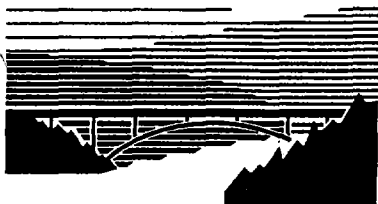
In Testimony Whereof, the State Corporation Commission of the State of New Mexico has caused this certificate to be signed by its Chairman and the Seal of said Commission to be affixed at the City of Santa Fe

A handwritten signature, appearing to be "Jim F. Serra", is written over a horizontal line.

Chairman

A handwritten signature, appearing to be "Ornette Wade", is written over a horizontal line.

Director



Los Alamos National Laboratory Foundation

1640 Old Pecos Trail, Suite C, Santa Fe, New Mexico 87505 (505) 992-0685 (505) 992-0687 (fax)

June 18, 1998

Foundation Board of Directors

President

Thomas A. Garcia
Acting Deputy Laboratory Director
Business Administration and Outreach
Los Alamos National Laboratory

Vice President

Leroy E. Apodaca
Director
Community Involvement and Outreach Office
Los Alamos National Laboratory

Secretary

Martin E. Strones
General Manager and Senior Vice President
Protection Technology Los Alamos

Treasurer

Allan F. Johnston
Controller/Business Operations Director
Los Alamos National Laboratory

Members-At-Large

John C. Browne
Director
Los Alamos National Laboratory

Bruce B. Darling
Vice President
University and External Relations
University of California
Office of the President

Sigfredo Maestas
President
Northern New Mexico Community College

Alfred P. Sattelberger
Director
Science and Technology Base Program
Los Alamos National Laboratory

Robert N. Shelton
Vice Provost for Research
University of California
Office of the President

Christina Sierk
Member
Los Alamos School Board
Director
Little Forest Play School

Foundation Executive Director
Susan Herrera

Internal Revenue Service
District Director
P.O. Box 2508
Cincinnati, OH 45201

Employer Identification Number, 74-2853972

DLN: 17053069030028

Contact Person: Terry Izumi

Dear Ms. Izumi

Thank you for your correspondence of 5-14-98. Chris Olivera, the interim director of the Los Alamos National Laboratory Foundation called your office to explain the lateness of our response. He had relocated to another office within the Laboratory three weeks ago, and the mail finally reached his desk on June 14, 1998.

Here are the responses to your questions:

- 1) The office was established temporarily at the Los Alamos National Laboratory with the intent that as soon as staff was hired, the organization would find suitable office space. A national search was conducted for an executive director, and I was hired February 1, 1998. Since then, the foundation office space was leased as of April 1, 1998. Our new office location is:

Los Alamos National Laboratory Foundation
1640 Old Pecos Trail, Suite C
Santa Fe, New Mexico 87505

Employees of the Foundation will use the office space leased for the purposes of operating the Foundation. No one else will be using the facility except for the employees of the foundation and occasional volunteers. No directors or employees will reside at the facility. There is no relationship between the owners of the property and the board of directors and staff other than a tenant/landlord relationship.

page two

IRS Los Alamos National Laboratory Foundation
Employer Identification Number 74-2853972

- (2) No members or officers of the board of directors or their relatives will receive a salary, or any other form of payment from our organization. From time to time, the board of directors may be reimbursed for travel expenses to a national convention on behalf of Foundation business. However, expense reimbursement will be for actual expenses. The members will not be paid a salary or stipend for the time spent at the conference.
- (3) Enclosed please find a copy of our recent grant application and guidelines.
- (4) Enclosed is a copy of our lease agreement per your request. We have entered into no other contracts or agreements. Our grants are limited to 501(c) 3 organizations.

If you have any further questions, please call me at (505) 992-0685. My card is enclosed for your reference. Thank you for your assistance in this matter.

Sincerely,



Susan Herrera
Executive Director

Enclosures

INTERNAL REVENUE SERVICE
DISTRICT DIRECTOR
P. O. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: 5-14-98

LOS ALAMOS NATIONAL LABORATORY
FOUNDATION
C/O CHRIS OLIVERA
1350 CENTRAL AVE STE 101
LOS ALAMOS, NM 87544

Employer Identification Number:
74-2853972

DLN:
17053069030028

Contact Person:
TERRY IZUMI
Contact Telephone Number:
(714) 826-1448

Response Due Date:
6/4/98
90 Day User Fee Date:
n/a

Dear Applicant:

Before we can recognize your organization as being exempt from Federal income tax, we must have enough information to show that you have met all legal requirements. You did not include the information needed to make that determination on your Form 1023, Application for Recognition of Exemption Under Section 501(c)(3) of the Internal Revenue Code.

We will be glad to consider your application when you submit the items listed on the attached sheet by the Response Due Date shown above. An extension of time to submit the requested information may be granted for good cause. If you need an extension, you must request it before the response due date.

If we do not hear from you within that time, we will assume that you do not want us to consider the matter further and will close your case. In accordance with Code section 6104(c), we will notify the appropriate state officials that we are unable to recognize you as an organization described in Code section 501(c)(3). Your user fee payment will be forfeited after 90 days and another fee will be required if you wish to re-apply at a later date.

In addition, if you do not provide the requested information in a timely manner, we will consider that you have not taken all reasonable steps to secure the determination you requested. Under Code section 7428(b)(2), this may be considered as failure to exhaust administrative remedies available to you within the Service and you may lose your rights to a declaratory judgement under Code section 7428.

PLEASE ATTACH A COPY OF THIS LETTER TO ALL CORRESPONDENCE.

Letter 1312 (DC/PL)

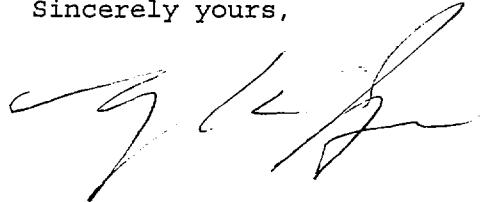
-2-

LOS ALAMOS NATIONAL LABORATORY

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

Thank you for your cooperation.

Sincerely yours,

A handwritten signature in dark ink, appearing to be 'G. L. B.', written in a cursive style.

Exempt Organization Specialist

Enclosure:

List of Missing Items

Letter 1312 (DC/PL)

Additional information needed

1)

Will anyone use your facility other than for the purpose of directly carrying out your work? Will any of your directors or employees reside at your facility? If so, explain fully. Is the owner of the facility related to you in any way other than as landlord? **[NOTE]** If an owner of facility is related to any of your board of directors or officers we need two independent appraisers' reports regarding fair market value of rent or sales price.

2)

Will any officers, directors, members, or their relatives, receive a salary, reimbursement for expenses, or any other form of payment from your organization? If so, explain fully, and include the recipients' names, their duties and the number of hours each week that they will devote to such duties. State the amount of compensation each will receive and the basis for arriving at the amounts of such payments.

3)

Please submit copies of any brochures, pamphlets, newsletters, advertisements, or any other literature regarding your organization.

4)

Please submit copies of any written leases, contracts, or agreements entered into by your organization.

5)

You stated that your organization plan to have grant program. Does your grant limited to public institutions or public charities under section 501(c)(3)? If not, please explain.

[NOTE] PLEASE MAIL YOUR RESPONSE TO:
INTERNAL REVENUE SERVICE
ATTN: TERRY K IZUMI/EOG-4
2 CUPANIA CIRCLE
MONTEREY PARK CA 91755



The Los Alamos National Laboratory
FOUNDATION

giving guidelines and 1998 grantmaking schedule



GENERAL PRINCIPLES

Recognizing that reasonable support of nonprofit institutions is a requirement of good corporate citizenship, the Los Alamos National Laboratory Foundation (the Foundation) supports such grant activities on a selective and competitive basis and within budgeted amounts.

In general, the Foundation's charitable funds are directed to educational enrichment, educational outreach and community outreach. Limited funds may also be directed to selected cultural and informal educational activities in our local communities within the guidelines set forth below.

The Foundation is a New Mexico nonprofit corporation that has applied for 501(c)(3) status. It is not a subsidiary of, nor an affiliate of, the Los Alamos National Laboratory.

GRANT APPLICATION CATEGORIES AND GUIDELINES

Community Outreach Grants

The Foundation has a strong interest in enhancing the quality of life in the New Mexico communities where employees/retirees live and work. The intent is to create strong partnerships with local nonprofits and provide grants with greater community impact. In this area, the Foundation is seeking applications that meet the following criteria (given equal priority):

- projects where the Foundation grant will be the last dollars needed to complete a project, or will pay for a complete project;
- projects that meet a critical need in the community;
- projects that will enhance economic development or community improvement;
- projects that demonstrate a wide range of community support;
- projects that benefit a large number of people; and
- projects that result in a tangible product with which the Foundation and the Laboratory can be positively identified, such as: community marketing brochures and youth-oriented community projects.

Eligibility

- Collaboration of one or more organizations are preferred. The lead organization must be a current

charitable 501(c)(3) organization in good standing as classified by the Internal Revenue Service or a qualified government organization.

- At least one of the collaborators must be located in one of the seven counties of northern New Mexico (i.e., Los Alamos, Rio Arriba, Santa Fe, Taos, Mora, San Miguel, and Sandoval) or from one of the regional Pueblos.

Funding levels

The Foundation Board has authorized the Community Outreach Grant Program a base funding level of \$500,000 for the 1998 calendar year, to be expended in the Northern New Mexico region. Grant requests should typically be in the range of \$1,000 to \$10,000. Larger awards, i.e., \$10,000 to \$50,000, may be considered if sufficient justification is provided.

Regional Educational Outreach Grants

The Foundation is interested in funding regional educational outreach programs which focus on innovative education programs for New Mexico that will match present and future community workforce needs. For this program, the Foundation is seeking applications that meet one or more of the following criteria, presented in order of priority:

- fosters school-to-work (cooperative education, job placement, career planning) initiatives;
- provides high-quality and cost-effective teacher training and ongoing support;
- leads to new or improved educational technologies;
- promotes a better match between educational offerings and regional workforce skill needs;
- increases student participation in mathematics and science
- increases the number of under-represented minorities, women, and disabled individuals
- leverages other funding sources, e.g., other foundations, businesses, and NM State Department of Education;
- builds sustainable infrastructure that can/will continue after the funding period is over;
- builds capacity in rural communities;
- contains replicable processes that can be transferred to other schools if successful;
- leads to curriculum enhancement; and
- increases public understanding of science. entering technical careers.

Reasonable requests for equipment will be considered under this program. Support for capital construction projects will normally not be considered.

Eligibility

- Nonprofit educational institutions in the State of New Mexico.
- IRS qualified nonprofit 501(c)(3) organizations.

Funding levels

The Foundation Board has authorized the expenditure of \$500,000 for the 1998 calendar year for educational outreach activities in the State of New Mexico. Preference will be accorded to programs that focus on the seven counties in northern New Mexico (i.e., Los Alamos, Rio Arriba, Santa Fe, Taos, Mora, San Miguel, and Sandoval) and the regional Pueblos. Grant requests should typically be in the range of \$1,000 to \$10,000. Larger awards, i.e., \$10,000 to \$50,000, will be considered if sufficient justification (e.g., regional collaborations) is provided. Partial awards may be made.

Also, through the Foundation's Matching Gifts for Education Program, the Foundation Board has authorized the Foundation to match annual cash contributions of \$25 to \$100 by Laboratory employees, Laboratory retirees, and Foundation Board members—up to a total of \$50,000 in calendar year 1998—to qualified Northern New Mexico K-through-undergraduate-level institutions. To receive Foundation matching gifts, a Matching Gifts for Education application form must be filled out by both the employee/retiree and the institution designated to receive the funding. Individuals interested in this program should contact the Foundation for additional details.

GRANT DURATION

Grants are normally given for one calendar year. A grant given by the Foundation in any one year does not necessarily ensure future funding. If renewed funding is desired, organizations need to resubmit a formal request. Annual reports will be required at the end of the grant period.

DEADLINES/REVIEW PROCESS

The Foundation will make every effort to notify an applicant as soon as it receives a proposal. The staff

will review each submission to determine whether it is complete and also whether it falls within the Foundation's areas of interest and funding priorities. On occasion, Foundation staff may request a meeting with the applicant to clarify specific points in the application. Because the staff anticipates funding requests in excess of the budget, some deserving applications will most likely not receive support. Furthermore, the Foundation reserves the right to reject any proposal.

GENERAL EXCLUSIONS

In order to direct Foundation resources to projects and programs that are within the scope of interest, the Foundation does not normally contribute to the following:

- individuals;
- fraternal, veteran, labor, athletic or religious organizations serving a limited constituency;
- political or lobbying organizations, or those supporting the candidacy of a particular individual;
- organizations whose activities are mainly international;
- national health organizations or their local chapters;
- specific disease organizations (e.g., the National Cancer Society);
- capital fund drives of colleges and universities; and
- private foundations.

Further, the Foundation does not donate Los Alamos National Laboratory equipment.

The Foundation expects to receive many more requests than it is able to support. The enclosed application specifies certain requirements that must be met in order to qualify for assistance.

Foundation mailing address:
1640 Old Pecos Trail, Suite C
Santa Fe, NM 87501

GRANTMAKING SCHEDULE

The 1998 deadline dates for Los Alamos National Laboratory Foundation grant applications are indicated below.

	Application Issue Date	Application Due Date (postmarked)	Date for Response to Nonprofit Organization
Educational Enrichment	March 2	March 30	April 20
Educational Outreach	January 26	March 13	April 6
Community Outreach	January 26	March 13	April 6
Community Outreach	July 7	August 28	September 21

Regional Educational Enrichment Grants

The Foundation also provides educational enrichment support to eligible school districts (see below). The purpose of this grant program is to supplement the educational programs of these districts and to maintain a level of educational excellence necessary to enable the University of California to recruit qualified employees from within the region to conduct the missions of the Los Alamos National Laboratory.

Eligibility

For a school district to be eligible, it must be located in the State of New Mexico, include the principal residence of one or more members of the Laboratory workforce, and propose a suitable enrichment program for full or partial funding.

Grantees must file an annual report with the Foundation documenting the results of such programs. Applications and guidance concerning the application process for these grants will be forwarded directly to the superintendents of eligible school districts.

Funding levels

The total level of enrichment funding from the Foundation to the eligible school districts shall be determined by the Board of Directors of the Foundation with the objective of maintaining sustained, steady levels of funding from year to year. The Foundation Board has authorized the educational enrichment program a base funding level of \$1,000,000 for the 1998 calendar year. In setting the future level of enrichment funding, the Board will consult with the Department of Energy (DOE) about future plans for augmenting enrichment funds and about other federal funding available to the eligible school districts. The total payments shall be allocated on an annual basis to eligible school districts in proportion to the fraction of the Laboratory workforce who reside in each school district. The Foundation will endeavor to identify and commit such funding sufficiently far in advance to enable the school districts to budget for such funding in the course of their ordinary budget cycle.

