

**Application for Recognition of Exemption
Under Section 501(c)(3) of the Internal Revenue Code**Do not enter social security numbers on this form as it may be made public.
Go to www.irs.gov/Form1023 for instructions and the latest information.**Note:** *If exempt status is approved, this application will be open for public inspection.*

Use the "?" buttons throughout this form for help in completing this application. For additional help, call IRS Exempt Organizations Customer Account Services toll-free at 1-877-829-5500.

If you cannot complete required responses within the textbox limits throughout this form, upload your additional narratives with the other required documents.

Part I Identification of Applicant

1a Full Name of Organization (exactly as it appears in your organizing document) UNCERTAINTY QUANTIFICATION FOUNDATION			b Care of Name (if applicable) EVAN MCKERNS		
c Mailing Address (Number, street and room/suite) 305 N ELMWOOD AVE		d City OAK PARK		e Country UNITED STATES	
f State ILLINOIS		g Zip Code + 4 60302-2223	h Foreign Province (or State)		i Foreign Postal Code
2 Employer Identification Number 81-5153299		3 Month Tax Year Ends DECEMBER		4 Person to Contact if More Information is Needed (officer, director, trustee, or authorized representative) EVAN MCKERNS - CEO	
5 Contact Telephone Number 708-557-7562		6 Fax Number (optional) 708-445-2291		7 User Fee Submitted \$600.00	
8 Organization's Website (if available): http://uqfoundation.org					
9 List the names, titles, and mailing addresses of your officers, directors, and/or trustees.					
First Name: MICHAEL		Last Name: MCKERNS		Title: CHAIRMAN OF THE BOARD	
Mailing Address: 305 N ELMWOOD AVE		City: OAK PARK			
State (or Province): IL		Zip Code (or Foreign Postal Code): 60302-2223			
First Name: CLAUDIA		Last Name: SCHILLINGS		Title: DIRECTOR	
Mailing Address: 305 N ELMWOOD AVE		City: OAK PARK			
State (or Province): IL		Zip Code (or Foreign Postal Code): 60302-2223			
First Name: BERTRAND		Last Name: IOOSS		Title: DIRECTOR	
Mailing Address: 305 N ELMWOOD AVE		City: OAK PARK			
State (or Province): IL		Zip Code (or Foreign Postal Code): 60302-2223			
First Name: TIM		Last Name: SULLIVAN		Title: DIRECTOR	
Mailing Address: 305 N ELMWOOD AVE		City: OAK PARK			
State (or Province): IL		Zip Code (or Foreign Postal Code): 60302-2223			
First Name: EVAN		Last Name: MCKERNS		Title: CHIEF EXECUTIVE OFFICER	
Mailing Address: 305 N ELMWOOD AVE		City: OAK PARK			
State (or Province): IL		Zip Code (or Foreign Postal Code): 60302-2223			

 Check here to add more officers, directors, and/or trustees.

First Name: MIKE Last Name: CONNELL Title: DIRECTOR Mailing Address: 305 N ELMWOOD AVE City: OAK PARK State (or Province): IL Zip Code (or Foreign Postal Code): 60302-2223

Part II Organizational Structure

- 1** You must be a corporation, limited liability company (LLC), unincorporated association, or trust to be tax exempt.

Select your type of organization.

Corporation

At the end of this form, you must upload a copy of your articles of incorporation (and any amendments) that shows proof of filing with the appropriate state agency.

Limited Liability Company (LLC)

At the end of this form, you must upload a copy of your articles of organization (and any amendments) that shows proof of filing with the appropriate state agency. Also, if you adopted an operating agreement, upload a copy, along with any amendments.

Unincorporated Association

At the end of this form, you must upload a copy of your articles of association, constitution, or other similar organizing document that is dated and includes at least two signatures. Include signed and dated copies of any amendments.

Trust

At the end of this form, you must upload a signed and dated copy of your trust agreement. Include signed and dated copies of any amendments.

- 2** Enter the date you formed. (MM/DD/YYYY)

12/22/2016

- 3** Select your state (or U.S. territory) of incorporation or other formation. If you were formed under the laws of a foreign country, select Foreign Country.

Delaware

- 4** Have you adopted bylaws? If "Yes," at the end of this form, upload a current copy showing the date of adoption. If "No," explain how you select your officers, directors, or trustees.

Yes No

- 5** Are you a successor to another organization?

Yes No

Answer "Yes" if you have taken or will take over the activities of another organization, you took over 25% or more of the fair market value of the net assets of another organization, or you were established upon the conversion of an organization from for-profit to nonprofit status. If "Yes," complete Schedule G.

Part III Required Provisions in Your Organizing Document

Part III helps ensure that, when you submit this application, your organizing document contains the required provisions to meet the organizational test under section 501(c)(3).

If you cannot check "Yes" in both Lines 1 and 2, your organizing document does not meet the organizational test. DO NOT file this application until you have amended your organizing document. Remember to upload your original and amended organizing documents at the end of this form.

- 1** Section 501(c)(3) requires that your organizing document limit your purposes to one or more exempt purposes within section 501(c)(3), such as charitable, religious, educational, and/or scientific purposes.

The following is an example of an acceptable purpose clause: The organization is organized exclusively for charitable, religious, educational, and scientific purposes under section 501(c)(3) of the Internal Revenue Code, or corresponding section of any future federal tax code.

Does your organizing document meet this requirement?

Yes No

- 1a** State specifically where your organizing document meets this requirement, such as a reference to a particular article or section in your organizing document (Page/Article/Paragraph):

Article III and Article IV Paragraphs (a) - (c)

- 2** Section 501(c)(3) requires that your organizing document provide that upon dissolution, your remaining assets be used exclusively for section 501(c)(3) exempt purposes, such as charitable, religious, educational, and/or scientific purposes. Depending on your entity type and the state in which you are formed, this requirement may be satisfied by operation of state law.

The following is an example of an acceptable dissolution clause: Upon the dissolution of this organization, assets shall be distributed for one or more exempt purposes within the meaning of section 501(c)(3) of the Internal Revenue Code, or corresponding section of any future federal tax code, or shall be distributed to the federal government, or to a state or local government, for a public purpose.

Does your organizing document meet this requirement?

Yes No

- 2a** State specifically where your organizing document meets this requirement, such as a reference to a particular article or section in your organizing document (Page/Article/Paragraph) or indicate that you rely on state law.

Article VII Paragraph (b)

Part IV Your Activities

1 Describe completely and in detail your past, present, and planned activities. Do not refer to or repeat the purposes in your organizing document. For each past, present, or planned activity, include information that answers the following questions:

- a. What is the activity?
- b. Who conducts the activity?
- c. Where is the activity conducted?
- d. What percentage of your total time is allocated to the activity?
- e. How is the activity funded (for example, donations, fees, etc.) and what percentage of your overall expenses is allocated to this activity?
- f. How does the activity further your exempt purposes?

Please see PART IV NARRATIVE DESCRIPTION OF YOU ACTIVITIES in the IRS Form 1023 Attachment included with this application.

Part IV Your Activities (continued)

2 Enter the 3-character NTEE Code that best describes your activities.

Or check here if you want the IRS to select the NTEE Code that best describes your activities.

3 Do any of your programs limit the provision of goods, services, or funds to a specific individual or group of specific individuals? For example, answer "Yes" if goods, services, or funds are provided only for a particular individual, your members, individuals who work for a particular employer, or graduates of a particular school. If "Yes," explain the limitation and how recipients are selected for each program.

 Yes No

4 Do any individuals who receive goods, services, or funds through your programs have a family or business relationship with any officer, director, trustee, or with any of your highest compensated employees or highest compensated independent contractors? If "Yes," explain how these related individuals are eligible for goods, services, or funds.

 Yes No

5 Do you or will you support or oppose candidates in political campaigns in any way? If "Yes," explain.

 Yes No

6 Do you or will you attempt to influence legislation? If "Yes," explain how you attempt to influence legislation.

 Yes No

Please see PART IV YOUR ACTIVITIES (CONTINUED) in the IRS Form 1023 Attachment included with this application.

Part IV Your Activities (continued)

- 6a Did you or will you make an election to have your legislative activities measured by expenditures by filing Form 5768? If "No," describe whether your attempts to influence legislation are a substantial part of your activities. Include the time and money spent on your attempts to influence legislation as compared to your total activities. Yes No

Please see PART IV YOUR ACTIVITIES (CONTINUED) in the IRS Form 1023 Attachment included with this application.

- 7 Do you or will you publish, own, or have rights in music, literature, tapes, artworks, choreography, scientific discoveries, or other intellectual property? If "Yes," describe who owns or will own any copyrights, patents, or trademarks, whether fees are or will be charged, how the fees are determined, and how any items are or will be produced, distributed, and marketed. Yes No

Uncertainty Quantification Foundation holds the copyright to several computational frameworks enumerated within our development repository at <https://github.com/uqfoundation>. Work of the corporation that expands upon these frameworks will retain copyright with Uncertainty Quantification Foundation, however, all copyrighted material is and will be available to the interested public without fee or charge of any kind through the above named development repository and with the latest release versions being available, also without fee or charge, through the Python Package Index (<https://pypi.org>) or other similar organizations.

- 8 Do you or will you provide educational information to the general public on budgeting, personal finance, financial literacy, saving and spending practices, the sound use of consumer credit, and/or assist individuals and families with financial problems such as credit card debt and foreclosure by providing them with counseling? If "Yes," explain. Yes No

- 9 Do you or will you make grants, loans, or other distributions to organizations? If "Yes," describe the type and purpose of the grants, loans, or distributions, how you select your recipients including submission requirements (such as grant proposals or application forms), and the criteria you use or will use to select recipients. Also describe how you ensure the grants, loans, and other distributions are or will be used for their intended purposes (including whether you require periodic or final reports on the use of funds and any procedures you have if you identify that funds are not being used for their intended purposes). Finally, describe the records you keep with respect to grants, loans, or other distributions you make and identify any recipient organizations and any relationships between you and the recipients. If "No," continue to Line 10. Yes No

Part IV Your Activities (continued)

- 9a** Do you or will you make grants, loans, or other distributions to organizations that are not recognized by the IRS as tax exempt under section 501(c)(3)? If "Yes," name and/or describe the non-section 501(c)(3) organizations to whom you do or will make distributions and explain how these distributions further your exempt purposes. Yes No

- 9b** Do you or will you make grants, loans, or other distributions to foreign organizations? If "Yes," name each foreign organization (if not already provided), the country and region within each country in which each foreign organization operates, any relationship you have with each foreign organization, and whether the foreign organization accepts contributions earmarked for a specific country or organization (if so, specify which countries or organizations). If "No," continue to Line 10. Yes No

- 9c** Do your contributors know that you have ultimate authority to use contributions made to you at your discretion for purposes consistent with your exempt purposes? If "Yes," describe how you relay this information to contributors. Yes No

- 9d** Do you or will you make pre-grant inquiries about the recipient organization? If "Yes," describe these inquiries, including whether you inquire about the recipient's financial status, its tax-exempt status under the Internal Revenue Code, its ability to accomplish the purpose for which the resources are provided, and other relevant information. Yes No

- 9e** Do you or will you use any additional procedures to ensure that your distributions to foreign organizations are used in furtherance of your exempt purposes? If "Yes," describe these procedures, including periodic reporting requirements, auditing grantees, site visits by your employees or compliance checks by impartial experts, etc., to verify that grant funds are being used appropriately. Yes No

Part IV Your Activities (continued)

- 9f** Do you share board members or other key personnel with the recipient organization(s)? If "Yes," identify the relationships. Yes No

- 9g** When you make grants, loans, or other distributions to foreign organizations, will you check the OFAC List of Specially Designated Nationals and Blocked Persons for names of individuals and entities with whom you are dealing to determine if they are included on the list? Describe any other practices you will engage in to ensure that foreign expenditures or grants are not diverted to support terrorism or other non-charitable activities. Yes No

- 9h** Will you comply with all United States statutes, executive orders, and regulations that restrict or prohibit U.S. persons from engaging in transactions and dealings with designated countries, entities, or individuals, or otherwise engaging in activities in violation of economic sanctions administered by OFAC? Yes No

- 9i** Will you acquire from OFAC the appropriate license and registration where necessary? Yes No

- 10** Do you or will you operate in a foreign country or countries? If "Yes," name each foreign country and region within each country in which you do or will operate and describe your operations in each one. If "No," continue to Line 11. Yes No

- 10a** When you conduct activities in foreign countries, will you check the OFAC List of Specially Designated Nationals and Blocked Persons for names of individuals and entities with whom you are dealing to determine if they are included on the list? Describe any other practices you will engage in to ensure that foreign expenditures or grants are not diverted to support terrorism or other non-charitable activities. Yes No

- 10b** Will you comply with all United States statutes, executive orders, and regulations that restrict or prohibit U.S. persons from engaging in transactions and dealings with designated countries, entities, or individuals, or otherwise engaging in activities in violation of economic sanctions administered by OFAC? Yes No

- 10c** Will you acquire from OFAC the appropriate license and registration where necessary? Yes No

Part IV Your Activities (continued)

- 11** Are you a sponsoring organization that maintains one or more donor advised funds? If yes, please provide a complete description of your program, including the specific advice that such donors may provide. Describe in detail the control you maintain (or will maintain) over the use of the funds. Yes No

- 12** Do you or will you operate a school? Yes No
If "Yes," complete Schedule B.

- 13** Is your principal purpose or function to provide hospital or medical care? Yes No
If "Yes," complete Schedule C.

- 14** Do you or will you provide low-income housing? Yes No
If "Yes," complete Schedule F.

- 15** Do you or will you provide scholarships, fellowships, educational loans, or other educational grants to individuals, including grants for travel, study, or other similar purposes? Yes No
If "Yes," complete Schedule H - Section I.

- 16** Check any of the following fundraising activities that you will undertake (check all that apply):

- | | |
|--|--|
| <input checked="" type="checkbox"/> Website, mail, email, personal, and/or phone solicitations | <input checked="" type="checkbox"/> Foundation grant solicitations |
| <input checked="" type="checkbox"/> Receive donations from another organization's website | <input checked="" type="checkbox"/> Government grant solicitations |
| <input type="checkbox"/> Bingo | <input type="checkbox"/> Other (non-bingo) gaming activities |
| <input checked="" type="checkbox"/> Other (describe) | |

Please see PART IV YOUR ACTIVITIES (CONTINUED) in the IRS Form 1023 Attachment included with this application.

- We will not engage in fundraising activities.

- 17** Do you or will you engage in fundraising activities for other organizations? If "Yes," describe these arrangements, including the names or descriptions of the organizations for which you raise funds. Yes No

Part V Compensation and Other Financial Arrangements

- 1** Do you or will you compensate officers, directors, or trustees, or do or will you have highest compensated employees, or highest compensated independent contractors? If "No," continue to Line 2. Yes No

In establishing compensation for your officers, directors, trustees, highest compensated employees, and highest compensated independent contractors:

- 1a** Do or will the individuals that approve compensation arrangements follow a conflict of interest policy? Yes No

- 1b** Do or will you approve compensation arrangements in advance of paying compensation? Yes No

- 1c** Do or will you document in writing the date and terms of approved compensation arrangements? Yes No

- 1d** Do or will you record in writing the decision made by each individual who decided or voted on compensation arrangements? Yes No

- 1e** Do or will you approve compensation arrangements based on information about compensation paid by similarly situated taxable or tax-exempt organizations for similar services, current compensation surveys compiled by independent firms, or actual written offers from similarly situated organizations? Yes No

- 1f** Do or will you record in writing both the information on which you relied to base your decision and its source? Yes No

- 1g** Do or will you have any other practices you use to set reasonable compensation? If "Yes," describe these practices. Yes No

Please see PART V COMPENSATION AND OTHER FINANCIAL ARRANGEMENTS in the IRS Form 1023 Attachment included with this application.

- 2** Have you adopted a conflict of interest policy consistent with the sample conflict of interest policy in Appendix A to the instructions? If you are a hospital, answer "Yes" if your conflict of interest policy includes provisions consistent with the additional healthcare related provisions in the sample document. If "No," describe the procedures you will follow to ensure that persons who have a conflict of interest will not have influence over setting their own compensation or regarding business deals with themselves. Yes No

- 3** Do you or will you compensate any of your officers, directors, trustees, highest compensated employees, and highest compensated independent contractors through non-fixed payments, such as discretionary bonuses or revenue-based payments? If "Yes," describe all non-fixed compensation arrangements, including how the amounts are determined, who is eligible for such arrangements, whether you place a limitation on total compensation, and how you determine or will determine that you pay no more than reasonable compensation for services. Yes No

Part V Compensation and Other Financial Arrangements (continued)

- 4 Do you or will you purchase or sell any goods, services, or assets from or to: (i) any of your officers, directors, or trustees; (ii) any family of any of your officers, directors, or trustees; (iii) any organizations in which any of your officers, directors, or trustees are also officers, directors, or trustees, or in which any individual officer, director, or trustee owns more than a 35% interest; (iv) your highest compensated employees; or (v) your highest compensated independent contractors? If "Yes," describe any such transactions that you made or intend to make, with whom you make or will make such transactions, how the terms are or will be negotiated at arm's length, and how you determine you pay no more than fair market value or you are paid at least fair market value. Yes No

- 5 Do you or will you have any leases, contracts, loans, or other agreements with: (i) your officers, directors, or trustees; (ii) any family of any of your officers, directors, or trustees; (iii) any organizations in which any of your officers, directors, or trustees are also officers, directors, or trustees, or in which any individual officer, director, or trustee owns more than a 35% interest; (iv) your highest compensated employees; or (v) your highest compensated independent contractors? If "Yes," describe any written or oral arrangements that you made or intend to make, with whom you have or will have such arrangements, how the terms are or will be negotiated at arm's length, and how you determine you pay no more than fair market value or you are paid at least fair market value. Yes No

- 6 Do you or will you contract with another organization to develop, build, market, or finance your facilities? Yes No
If "Yes," describe each facility, the role of the other organization, and any business or family relationship between the organization and your officers, directors, or trustees. Explain how that entity is selected, how the terms of any contract(s) are negotiated at arm's length, and how you determine you will pay no more than fair market value for services.

Part V Compensation and Other Financial Arrangements *(continued)*

- 7 Does or will someone other than your own employees or volunteers manage your activities or facilities? Yes No
- If "Yes," describe the activities or facilities that will be managed by others, the names of the persons or organizations that manage or will manage your activities or facilities, and any business or family relationship between the organization and your officers, directors, or trustees. Explain how these managers were or will be selected, how the terms of any contracts or other agreements were or will be negotiated, and how you determine you will pay no more than fair market value for services.

- 8 Do you participate in any joint ventures, including partnerships or limited liability companies treated as partnerships, in which you share profits and losses with partners? If "Yes," state your ownership percentage in each joint venture, list your investment in each joint venture, describe the tax status of other participants in each joint venture (including whether they are section 501(c)(3) organizations), describe the activities of each joint venture, describe how you exercise control over the activities of each joint venture, and describe how each joint venture furthers your exempt purposes. Yes No

Part VI Financial Data

- 1 Select the option that best describes you to determine the years of revenues and expenses you need to provide.
- You completed less than one tax year.
Provide a total of three years of financial information (including the current year and two future years of reasonable and good faith projections of your future finances) in the following Statement of Revenues and Expenses.
- You completed at least one tax year but fewer than five.
Provide a total of four years financial information (including the current year and three years of actual financial information or reasonable and good faith projections of your future finances) in the following Statement of Revenues and Expenses.
- You completed five or more tax years.
Provide financial information for your five most recent tax years (including the current year) in the following Statement of Revenues and Expenses.

Part VI Financial Data (continued)**A. Statement of Revenues and Expenses**

Type of revenue	4 prior tax years or 2 succeeding tax years				
	Current tax year	From: 01/01/2019	From: 01/01/2018	From: 01/01/2017	From: 12/22/2016
	From: 01/01/2020 To: 11/30/2020	To: 12/31/2019	To: 12/31/2018	To: 12/31/2017	To: 12/31/2016
1 Gifts, grants, and contributions received (do not include unusual grants)	\$20,600	\$7,470	\$0	\$0	\$0
2 Membership fees received	\$1,600	\$600	\$200	\$200	\$0
3 Gross investment income	\$0	\$0	\$0	\$0	\$0
4 Net unrelated business income	\$0	\$0	\$0	\$0	\$0
5 Taxes levied for your benefit	\$0	\$0	\$0	\$0	\$0
6 Value of services or facilities furnished by a governmental unit without charge (not including the value of services generally furnished to the public without charge)	\$0	\$0	\$0	\$0	\$0
7 Any revenue not otherwise listed above or in lines 9 - 12 below (provide an itemized list below)	\$0	\$0	\$0	\$0	\$0
8 Total of lines 1 through 7	\$22,200	\$8,070	\$200	\$200	\$0
9 Gross receipts from admissions, merchandise sold or services performed, or furnishing of facilities in any activity that is related to your exempt purposes (provide an itemized list below)	\$113,890	\$72,929	\$24,950	\$0	\$0
10 Total of lines 8 and 9	\$136,090	\$80,999	\$25,150	\$200	\$0
11 Net gain or loss on sale of capital assets (provide an itemized list below)	\$0	\$0	\$0	\$0	\$0
12 Unusual grants (provide an itemized list below)	\$275,250	\$24,750	\$0	\$0	\$0
13 Total Revenue (add lines 10 through 12)	\$411,340	\$105,749	\$25,150	\$200	\$0
Type of expense	Current tax year	4 prior tax years or 2 succeeding tax years			
14 Fundraising expenses	\$0	\$0	\$0	\$0	\$0
15 Contributions, gifts, grants, and similar amounts paid out (provide an itemized list below)	\$0	\$0	\$0	\$0	\$0
16 Disbursements to or for the benefit of members (provide an itemized list below)	\$0	\$0	\$0	\$0	\$0
17 Compensation of officers, directors, and trustees	\$44,530	\$1,920	\$0	\$0	\$0
18 Other salaries and wages	\$0	\$0	\$0	\$0	\$0
19 Interest expense	\$0	\$0	\$0	\$0	\$0
20 Occupancy (rent, utilities, etc.)	\$0	\$0	\$0	\$0	\$0
21 Depreciation and depletion	\$0	\$0	\$0	\$0	\$0
22 Professional fees	\$349,610	\$85,051	\$19,112	\$52	\$0
23 Any expense not otherwise classified, such as program services (provide an itemized list below)	\$5,943	\$589	\$351	\$50	\$532
24 Total Expenses (add lines 14 through 23)	\$400,083	\$87,560	\$19,463	\$102	\$532

25 Itemized financial data

Please see PART VI FINANCIAL DATA in the IRS Form 1023 Attachment included with this application.

Part VI Financial Data (continued)

B. Balance Sheet (for your most recently completed tax year)		Year End: 12/31/2019
Assets		
1	Cash	\$24,989
2	Accounts receivable, net	\$60,806
3	Inventories	\$0
4	Bonds and notes receivable (provide an itemized list below)	\$0
5	Corporate stocks (provide an itemized list below)	\$0
6	Loans receivable (provide an itemized list below)	\$0
7	Other investments (provide an itemized list below)	\$0
8	Depreciable assets (provide an itemized list below)	\$0
9	Land	\$0
10	Other assets (provide an itemized list below)	\$0
11	Total Assets (add lines 1 through 10)	\$85,795
Liabilities		
12	Accounts payable	\$65,810
13	Contributions, gifts, grants, etc. payable	\$0
14	Mortgages and notes payable (provide an itemized list below)	\$0
15	Other liabilities (provide an itemized list below)	\$95
16	Total Liabilities (add lines 12 through 15)	\$65,905
Fund Balances or Net Assets		
17	Total fund balances or net assets	\$19,690
18	Total Liabilities and Fund Balances or Net Assets (add lines 16 and 17)	\$85,595

19 Itemized financial data

Please see PART IV FINANCIAL DATA in the IRS Form 1023 Attachment included with this application.

Part VII Foundation Classification

Part VII is designed to classify you as an organization that is either a private foundation or a public charity. Public charity classification is a more favorable tax status than private foundation classification. If you are a private foundation, this part will further determine whether you are a private operating foundation.

1 Select the foundation classification you are requesting from the list below.

- You are described in 509(a)(1) and 170(b)(1)(A)(vi) as an organization that receives a substantial part of its financial support in the form of contributions from publicly supported organizations, from a governmental unit, or from the general public.
- You are described in 509(a)(2) as an organization that normally receives not more than one-third of its financial support from gross investment income and receives more than one-third of its financial support from contributions, membership fees, and gross receipts from activities related to its exempt functions (subject to certain exceptions).
- You are described in 509(a)(1) and 170(b)(1)(A)(i) as a church or a convention or association of churches. Complete Schedule A.
- You are described in 509(a)(1) and 170(b)(1)(A)(ii) as a school. Complete Schedule B.
- You are described in 509(a)(1) and 170(b)(1)(A)(iii) as a hospital, a cooperative hospital service organization, or a medical research organization operated in conjunction with a hospital. Complete Schedule C.
- You are described in 509(a)(1) and 170(b)(1)(A)(iv) as an organization operated for the benefit of a college or university that is owned or operated by a governmental unit.
- You are described in 509(a)(1) and 170(b)(1)(A)(ix) as an agricultural research organization directly engaged in the continuous active conduct of agricultural research in conjunction with a college or university.
- You are described in 509(a)(3) as an organization supporting either one or more organizations described in 509(a)(1) or 509(a)(2) or a publicly supported section 501(c)(4), (5), or (6) organization. Complete Schedule D.
- You are described in 509(a)(4) as an organization organized and operated exclusively for testing for public safety.
- You are a publicly supported organization and would like the IRS to decide your correct classification.
- You are a private foundation.

1a As a private foundation, section 508(e) requires special provisions in your organizing document in addition to those that apply to all organizations described in section 501(c)(3). Check this box to confirm that your organizing document includes these provisions or you rely on state law.

State specifically where your organizing document meets this requirement, such as a reference to a particular article or section in your organizing document (Page/Article/Paragraph) or state that you rely on state law.

1b Do you or will you provide scholarships, fellowships, educational loans, or other educational grants to individuals, including grants for travel, study, or other similar purposes? Yes No
If "Yes," complete Schedule H - Section II.

1c Are you a private operating foundation? Yes No

To be a private operating foundation you must engage directly in the active conduct of charitable, religious, educational, and similar activities, as opposed to indirectly carrying out these activities by providing grants to individuals or other organizations.

Part VII Foundation Classification *(continued)*

- 1d** Describe how you meet the requirements for private operating foundation status, including how you meet the income test and either the assets test, the endowment test, or the support test. If you've been in existence for less than one year, describe how you are likely to satisfy the requirements for private operating foundation status.

- 2** If you have been in existence more than 5 years, you must confirm your public support status. To confirm your qualification as a public charity described in 509(a)(1) and 170(b)(1)(A)(vi) in existence for five or more tax years, you must have received one-third or more of your total support from governmental agencies, contributions from the general public, and contributions or grants from other public charities; or 10% or more of your total support from governmental agencies, contributions from the general public, and contributions or grants from other public charities and the facts and circumstances indicate you are a publicly supported organization. Calculate whether you meet this support test for your most recent five-year period.

- i.** Did you receive contributions from any person, company, or organization whose gifts totaled more than the 2% amount of line 8 in Part VI-A? Yes No

If "Yes," identify each person, company, or organization by letter (A, B, C, etc.) and indicate the amount contributed by each. Keep a list showing the name of and amount contributed by each of these donors for your records.

- ii.** Based on your calculations, did you receive at least one-third of your support from public sources or did you normally receive at least 10 percent of your support from public sources and you have other characteristics of a publicly supported organization? Yes No

- 2a** If you have been in existence more than 5 years, you must confirm your public support status. To confirm your qualification as a public charity described in 509(a)(2) in existence for five or more tax years, you must have normally received more than one-third of your support from contributions, membership fees, and gross receipts from activities related to your exempt functions, or a combination of these sources, and not more than one-third of your support from gross investment income and net unrelated business income. Calculate whether you meet this support test for your most recent five-year period.

- i.** Did you receive amounts from any disqualified persons? Yes No

If "Yes," identify each disqualified person by letter (A, B, C, etc.) and indicate the amount contributed by each. Keep a list showing the name of and amount contributed by each of these donors for your records.

- ii.** Did you receive amounts from individuals or organizations other than disqualified persons that exceeded the greater of \$5,000 or 1% of the amount on line 10 of Part VI-A Statement of Revenues and Expenses? Yes No

If "Yes," identify each individual or organization by letter (A, B, C, etc.) and indicate the amount contributed by each. Keep a list showing the name of and amount contributed by each of these donors for your records.

- iii.** Based on your calculations, did you normally receive more than one-third of your support from a combination of gifts, grants, contributions, membership fees, and gross receipts (from permitted sources) from activities related to your exempt functions and normally receive not more than one-third of your support from investment income and unrelated business taxable income? Yes No

Part VIII Effective Date

In general, a determination letter recognizing exemption of an organization described in section 501(c)(3) is effective as of the date of formation of an organization if: (1) its purposes and activities prior to the date of the determination letter have been consistent with the requirements for exemption; and (2) it has filed an application for recognition of exemption within 27 months from the end of the month in which it was organized.

- 1 Are you submitting this application within 27 months of the end of the month in which you were legally formed? Yes No

If "No," complete Schedule E.

Part IX Annual Filing Requirements

If you fail to file a required information return or notice for three consecutive years, your exempt status will be automatically revoked.

- 1 Certain organizations are not required to file annual information returns or notices (Form 990, Form 990-EZ, or Form 990-N, e-Postcard). If you are granted tax-exemption, are you claiming to be excused from filing Form 990, Form 990-EZ, or Form 990-N? Yes No

If "Yes," are you claiming you are excused from filing because you are:

- A church or association of churches
- An integrated auxiliary (such as a men's or women's organization, religious school, mission society, or religious group)
- A church-affiliated organization (other than a section 509(a)(3) organization) that is exclusively engaged in managing funds or maintaining retirement programs and is described in Revenue Procedure 96-10, 1996-1 C.B. 577
- A school below college level affiliated with a church or operated by a religious order
- A mission society (other than a section 509(a)(3) supporting organization) sponsored by, or affiliated with, one or more churches or church denominations, if more than half of the society's activities are conducted in, or directed at, persons in foreign countries
- An affiliate of a governmental unit that meets the requirements of Revenue Procedure 95-48, 1995-2 C.B. 418 (other than a section 509(a)(3) supporting organization)
- Other (describe)

Part X Signature

- 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, and to the best of my knowledge it is true, correct, and complete.

Evan McKerns

(Type name of signer)

CHIEF EXECUTIVE OFFICER

(Type title or authority of signer)

12/30/2020

(Date)

Upload checklist:

- Organizing document (and any amendments)
- Bylaws, if adopted
- Form 2848, Power of Attorney and Declaration of Representative (if applicable)
- Form 8821, Tax Information Authorization (if applicable)
- Supplemental responses (if applicable)
- Expedited handling request (if applicable)

Schedule A. Churches

- 1 Do you have a written creed, statement of faith, or summary of beliefs? If "Yes," describe your written creed, statement of faith, or summary of beliefs. Yes No

- 2 Do you have a literature of your own? If "Yes," describe your literature. Yes No

- 3 Do you have a formal code of doctrine and discipline? If "Yes," describe your code of doctrine and discipline. Yes No

- 4 Describe your religious hierarchy or ecclesiastical government.

- 5 Are you part of a group of churches with similar beliefs and structures? If "Yes," explain. Yes No

- 6 Do you have a form of worship? If "Yes," describe your form of worship. Yes No

- 7 Do you have regularly scheduled religious services? If "Yes," describe the nature of the services. Yes No

- 7a What is the average attendance at your regularly scheduled religious services?

- 8 Do you have an established place of worship? If "Yes," describe your established place of worship or where you meet to hold regularly scheduled religious services. Yes No

Schedule A. Churches (continued)

9 Do you have an established congregation or other regular membership group? If "No," continue to Line 10. Yes No

9a How many members do you have?

9b Do you have a process by which an individual becomes a member? If "Yes," describe the process. Yes No

9c Do your members have voting rights, rights to participate in religious functions, or other rights? If "Yes," describe the rights your members have. Yes No

9d May your members be associated with another denomination or church? Yes No

9e Are all of your members part of the same family? Yes No

10 Do you conduct baptisms, weddings, funerals, or other religious rites? Yes No

11 Do you have a school for the religious instruction of the young? Yes No

12 Do you have ministers or religious leaders? If "Yes," describe these roles and explain whether the ministers or religious leaders are ordained, commissioned, or licensed after a prescribed course of study. Yes No

13 Do you have schools for the preparation of your ordained ministers or religious leaders? Yes No

14 Do you ordain, commission, or license ministers or religious leaders? If "Yes," describe the requirements for ordination, commission, or licensure. Yes No

15 Do you have other information you believe should be considered regarding your status as a church? If "Yes," explain. Yes No

Schedule B. Schools, Colleges, and Universities

1 Do you normally have a regularly scheduled curriculum, a regular faculty of qualified teachers, a regularly enrolled student body, and facilities where your educational activities are regularly carried on? Yes No

2 Is the primary function of your school the presentation of formal instruction? If "No," continue to Line 3. Yes No

2a Select the best description(s) of your school:

- Elementary school
 Secondary school
 Charter school
 College or university
 Technical school
 Other school (describe)

3 Are you a public school because you are operated by a state or subdivision of a state or operated wholly or predominantly from government funds or property? If "Yes," explain how you are operated by a state or subdivision of a state. Do not complete the remainder of Schedule B. Yes No

4 Were you formed or substantially expanded at the time of public school desegregation in the school district or county in which you are located? Yes No

5 Has a state or federal administrative agency or judicial body ever determined that you are racially discriminatory? If "Yes," explain. Yes No

6 Has your right to receive financial aid or assistance from a governmental agency ever been revoked or suspended? If "Yes," explain. Yes No

Information Required by Revenue Procedure 75-50 as Modified by Revenue Procedure 2019-22

7 Have you adopted a racially nondiscriminatory policy as to students in your organizing document, bylaws, or by resolution of your governing body? Yes No

State where the policy is located or if adopted by resolution of your governing body.

8 Do your brochures, application forms, advertisements, and catalogues dealing with student admissions, programs, and scholarships contain a statement of your racially nondiscriminatory policy? If "Yes," continue to Line 9. Yes No

8a By checking this box, you agree that all future printed materials, including website content, will contain the required nondiscriminatory policy statement.

Schedule B. Schools, Colleges, and Universities (continued)

9 Have you made your racially nondiscriminatory policy known to all segments of the general community you serve by: a) publishing a notice of your policy in a newspaper of general circulation that serves all racial segments of the community; b) publicizing your policy over broadcast media in a way that is reasonably expected to be effective; or c) displaying a notice of your policy at all times on your primary, publicly accessible internet home page in a manner reasonably expected to be noticed by visitors to the homepage? If "Yes," continue to Line 10. Yes No

9a By checking this box, you agree that you will publicize your nondiscriminatory policy in a way that meets the requirements of Revenue Procedure 75-50, 1975-2 C.B. 587, as modified by Revenue Procedure 2019-22, I.R.B. 1260.

10 Do or will you (or any department or division of your organization) discriminate in any way on the basis of race with respect to admissions, use of facilities or exercise of student privileges, faculty or administrative staff, or scholarship or loan programs? If "Yes," for any of the above, explain fully. Yes No

11 Complete the table below to show the racial composition for the current academic year and projected for the next academic year. If you are not operational, submit an estimate based on the best information available (such as the racial composition of the community you serve).

For each racial category, enter the number of (a) students, (b) faculty, and (c) administrative staff. Provide actual numbers rather than percentages for each racial category.

Racial Category	(a) Student Body		(b) Faculty		(c) Administrative Staff	
	Current Year	Next Year	Current Year	Next Year	Current Year	Next Year
Total						

12 In the table below, enter the number and amount of loans and scholarships awarded to enrolled students by racial categories. Provide actual numbers rather than percentages for each racial category.

Check here if you will not provide any loans or scholarships to students.

Racial Category	Number of Loans		Amount of Loans		Number of Scholarships		Amount of Scholarships	
	Current Year	Next Year	Current Year	Next Year	Current Year	Next Year	Current Year	Next Year
Total								

Schedule B. Schools, Colleges, and Universities *(continued)*

13 List your incorporators, founders, board members, and donors of land or buildings, whether individuals or organizations.

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14 Do any of your incorporators, founders, board members, and donors of land or buildings, whether individuals or organizations, have an objective to maintain segregated public or private school education? If "Yes," explain.

Yes No

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15 Will you maintain records according to the nondiscrimination provisions contained in Revenue Procedure 75-50? If "No," explain.

Yes No

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Schedule C. Hospitals and Medical Research Organizations

- 1** Are you a medical research organization (an organization whose principal purpose or function is medical research and which is directly engaged in the continuous active conduct of medical research) operated in conjunction with a hospital? If "No," continue to Line 2. Yes No

- 1a** Name the hospitals with which you have a relationship and describe the relationship.

- 1b** List your assets showing their fair market value and the portion of your assets directly devoted to medical research.

Do not complete the remainder of Schedule C.

- 2** Are you applying for exemption as a cooperative hospital service organization described in section 501(e)? If "Yes," explain. Yes No

Do not complete the remainder of Schedule C.

- 3** Are all the doctors in the community eligible for staff privileges? If "No," give the reasons why and explain how the medical staff is selected. Yes No

Schedule C. Hospitals and Medical Research Organizations (continued)

- 4** Do you or will you provide medical services to all individuals in your community who can pay for themselves or are able to pay through some form of insurance? If "No," explain. Yes No

- 5** Do you or will you maintain a full-time emergency room? If "Yes," continue to Line 6. Yes No

- 5a** Are you a specialty hospital or would emergency services be duplicative based on your region or locality? Yes No

- 6** Do you provide free or below cost services? If "Yes," describe your policy for determining when and to whom you provide these services and how these services promote the organization's benefit to the community. Yes No

- 7** Do you or will you carry on a formal program of medical training or medical research? If "Yes," describe such programs, including the type of programs offered, the scope of such programs, and affiliations with other hospitals or medical care providers with which you carry on the medical training or research programs. Yes No

- 8** Do you or will you carry on a formal program of community education? If "Yes," describe such programs, including the type of programs offered, the scope of such programs, and affiliation with other hospitals or medical care providers with which you offer community education programs. Yes No

Schedule C. Hospitals and Medical Research Organizations (continued)

- 9** Is your board of directors composed of a majority of individuals who are representative of the community you serve, or do you operate under a parent organization whose board of directors is composed of a majority of individuals who are representative of the community you serve? If "Yes," continue to Line 10. Yes No

- 9a** List each board member's name and business, financial, or professional relationship with the hospital. Also, identify each board member who is representative of the community and describe how that individual is a community representative. If you operate under a parent organization whose board of directors is not composed of a majority of individuals who are representative of the community you serve, provide the requested information for your parent's board of directors as well.

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- 10** Do you operate a facility which is required by a state to be licensed, registered, or similarly recognized as a hospital? If "No," do not complete the rest of Schedule C. Yes No

- 10a** Do you conduct a community health needs assessment (CHNA) at least once every three years and adopt an implementation strategy to meet the community health needs identified in the assessment as required by section 501(r)(3)? If "No," explain. Yes No

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- 10b** Do you have a written financial assistance policy (FAP) and a written policy relating to emergency medical care as required by section 501(r)(4)? If "No," explain. Yes No

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Schedule C. Hospitals and Medical Research Organizations *(continued)*

10c Do you both (1) limit amounts charged for emergency or other medically necessary care provided to individuals eligible for assistance under your FAP to not more than amounts generally billed to individuals who have insurance covering such care, and (2) prohibit use of gross charges as required by section 501(r)(5)? If "No," explain. Yes No

10d Do you make reasonable efforts to determine whether an individual is FAP-eligible before engaging in extraordinary collection actions as required by section 501(r)(6)? If "No," explain. Yes No

Schedule D. Section 509(a)(3) Supporting Organizations

1 List the names, addresses, and EINs of the organizations you support.

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2 Are all your supported organizations public charities under section 509(a)(1) or (2)? If "Yes," continue to Line 3. Yes No

2a Are your supported organizations tax exempt under section 501(c)(4), 501(c)(5), or 501(c)(6) and do your supported organizations meet the public support test under section 509(a)(2)? If "No," explain how each organization you support is a public charity under section 509(a)(1) or 509(a)(2). Yes No

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3 Which of the following describes your relationship with your supported organization(s)?

- A majority of your governing board or officers are elected or appointed by your supported organization(s). (Type I supporting organization)
- Your control or management is vested in the same persons who control or manage your supported organization(s). (Type II supporting organization)
- One or more of your officers, directors, or trustees are elected or appointed by the officers, directors, trustees, or membership of your supported organization(s), or one or more of your officers, directors, trustees, or other important office holders, are also members of the governing body of your supported organization(s), or your officers, directors, or trustees maintain a close and continuous working relationship with the officers, directors, or trustees of your supported organization(s). (Type III supporting organization)

4 Describe how your governing board and officers are selected. If you are a Type III organization, also describe how your officers, directors, or trustees maintain a close and continuous working relationship with the officers, directors, or trustees of your supported organization(s).

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Schedule D. Section 509(a)(3) Supporting Organizations (continued)

- 5** Do any persons who are disqualified persons (except individuals who are disqualified persons only because they are foundation managers) with respect to you or persons who have a family or business relationship with any disqualified persons appoint any of your foundation managers? If "Yes," (1) describe the process by which disqualified persons appoint any of your foundation managers, (2) provide the names of these disqualified persons and the foundation managers they appoint, and (3) explain how control is vested over your operations (including assets and activities) by persons other than disqualified persons. Yes No

- 6** Do any persons who are disqualified persons (except individuals who are disqualified persons only because they are foundation managers) have any influence regarding your operations, including your assets or activities? If "Yes," (1) provide the names of these disqualified persons, (2) explain how influence is exerted over your operations (including assets and activities), and (3) explain how control is vested over your operations (including assets and activities) by individuals other than disqualified persons. Yes No

- 7** Does your organizing document specify your supported organization(s) by name? Yes No
 If "Yes" and you selected Type I above, continue to Line 8.
 If "Yes," and you selected Type II, do not complete the rest of Schedule D.
 If "No" and you selected Type III above, amend your organizing document to specify your supported organization(s) by name or you will not meet the organizational test and need to reconsider your requested public charity classification; then continue to Line 8.

- 7a** Does your organizing document name a similar purpose or charitable class of beneficiaries as to your supported organization(s)? If "No," amend your organizing document to specify your supported organization(s) by name, purpose, or class or you will not meet the organizational test and need to reconsider your requested public charity classification. Yes No

If you selected Type II above, do not complete the rest of Schedule D.

- 8** Do you or will you receive contributions from any person who alone, or combined with family members or an entity at least 35% controlled by that person, controls any of your supported organizations, or will you receive contributions from any family member of, or an entity at least 35% controlled by, any person who controls any of your supported organizations? If "Yes," explain. Yes No

If you selected Type I above, do not complete the rest of Schedule D.

Schedule D. Section 509(a)(3) Supporting Organizations (continued)

- 9 Do the officers, directors, or trustees of your supported organization have a significant voice in your investment policies, the timing and making of grants, the selection of grant recipients, and in otherwise directing the use of your income or assets? If "Yes," explain. Yes No

- 10 In each taxable year, do you or will you provide each of your supported organizations with (a) a written notice addressed to a principal officer of the supported organization describing the type and amount of all of the support you provided to the supported organization during the immediately preceding taxable year, (b) a copy of your most recently filed Form 990-series return or notice, and (c) a copy of your governing documents? If 'No,' explain. Yes No

- 11 Do you exercise a substantial degree of direction over the policies, programs, and activities of your supported organization(s) and appoint or elect (directly or indirectly) a majority of the officers, directors, or trustees of your supported organization(s)? If "Yes," explain. Yes No

- 12 Do substantially all of your activities directly further the exempt purposes of one or more supported organizations to which you are responsive by performing the functions of, or carrying out the purposes of, such supported organization(s) and but for your involvement would normally be engaged in by such supported organization(s). If "Yes," explain and do not complete the rest of Schedule D. Yes No

Schedule D. Section 509(a)(3) Supporting Organizations *(continued)*

13 Do you distribute at least 85% of your annual net income or 3.5% of the aggregate fair market value of all of your non-exempt-use assets (whichever is greater) to your supported organization(s)? If "No," explain.

Yes No

13a How much do you contribute annually to each supported organization?

13b What is the total annual revenue of each supported organization?

13c Do you or the supported organization(s) earmark your funds for support of a particular program or activity? If "Yes," explain.

Yes No

Schedule E. Effective Date

- 1** Are you applying for reinstatement of exemption after being automatically revoked for failure to file required returns or notices for three consecutive years? If "No," continue to Line 2. Yes No

- 1a** Revenue Procedure 2014-11, 2014-1 C.B. 411, provides procedures for reinstating your tax-exempt status. Select the section of Revenue Procedure 2014-11 under which you want us to consider your reinstatement request.

- Section 4. You are seeking retroactive reinstatement under section 4 of Revenue Procedure 2014-11. By selecting this line, you attest that you meet the specified requirements of section 4, that your failure to file was not intentional, and that you have put in place procedures to file required returns or notices in the future. Do not complete the rest of Schedule E.

- Section 5. You are seeking retroactive reinstatement under section 5 of Revenue Procedure 2014-11. By selecting this line, you attest that you meet the specified requirements of section 5, that you have filed required annual returns, that your failure to file was not intentional, and that you have put in place procedures to file required returns or notices in the future.

Describe how you exercised ordinary business care and prudence in determining and attempting to comply with your filing requirements in at least one of the three years of revocation and the steps you have taken or will take to avoid or mitigate future failures to file timely returns or notices. Do not complete the rest of Schedule E.

- Section 6. You are seeking retroactive reinstatement under section 6 of Revenue Procedure 2014-11. By selecting this line, you attest that you meet the specified requirements of section 6, that you have filed required annual returns, that your failure to file was not intentional, and that you have put in place procedures to file required returns or notices in the future.

Describe how you exercised ordinary business care and prudence in determining and attempting to comply with your filing requirements in each of the three years of revocation and the steps you have taken or will take to avoid or mitigate future failures to file timely returns or notices. Do not complete the rest of Schedule E.

- Section 7. You are seeking reinstatement under section 7 of Revenue Procedure 2014-11, effective the date you are filling this application. Do not complete the rest of Schedule E.

- 2** Generally, if you did not file Form 1023 within 27 months of formation, the effective date of your exempt status will be the date you filed Form 1023 (submission date). Requests for an earlier effective date may be granted when there is evidence to establish you acted reasonably and in good faith and the grant of relief will not prejudice the interests of the government.

- Check this box if you accept the submission date as the effective date of your exempt status. Do not complete the rest of Schedule E.
- Check this box if you are requesting an earlier effective date than the submission date.

- 2a** Explain why you did not file Form 1023 within 27 months of formation, how you acted reasonably and in good faith, and how granting an earlier effective date will not prejudice the interests of the Government.

You may want to include the events that led to the failure to timely file Form 1023 and to the discovery of the failure, any reliance on the advice of a qualified tax professional and a description of the engagement and responsibilities of the professional as well as the extent to which you relied on the professional, a comparison of (1) what your aggregate tax liability would be if you had filed this application within the 27-month period with (2) what your aggregate liability would be if you were exempt as of your formation date, or any other information you believe will support your request for relief.

Please see SCHEDULE E EFFECTIVE DATE in the supplemental responses to Form 1023 attached to this application.

Schedule F. Low-Income Housing

- 1** Describe each facility including the type of facility, whether you own or lease the facility, how many residents it can accommodate, the current number of residents, and whether the residents purchase or rent housing from you.

- 2** Describe who qualifies for your housing in terms of income levels or other criteria and explain how you select residents.

- 3** Do you meet the safe harbor requirements outlined in Revenue Procedure 96-32, 1996-1 C.B. 717, which provides guidelines for providing low-income housing that will be treated as charitable, including for each project that (a) at least 75 percent of the units are occupied by residents that qualify as low-income and (b) either at least 20 percent of the units are occupied by residents that also meet the very low-income limit for the area or 40 percent of the units are occupied by residents that also do not exceed 120 percent of the area's very low-income limit, and less than 25 percent of the units are provided at market rates to persons who have incomes in excess of the low-income limit? Yes No

- 4** Is your housing affordable to low-income residents? If "Yes," describe how your housing is made affordable to low-income residents. Yes No

- 5** Do you impose any restrictions to make sure that your housing remains affordable to low-income residents? If "Yes," describe these restrictions. Yes No

Schedule F. Low-Income Housing *(continued)*

- 6 In addition to rent or mortgage payments, do residents pay periodic fees or maintenance charges? If "Yes," describe what these charges cover and how they are determined. Yes No

- 7 Do you provide social services to residents? If "Yes," describe these services. Yes No

- 8 Do you participate in any government housing programs? If "Yes," describe these programs. Yes No

Schedule G. Successors to Other Organizations

- 1** List the name, last address, and EIN of your predecessor organization and describe its activities.

- 2** List the owners, partners, principal stockholders, officers, and governing board members of your predecessor organization. Include their names, addresses, and share/interest in the predecessor organization (if for-profit).

- 3** Are you a successor to a for-profit organization? If "Yes," explain your relationship with the predecessor organization that resulted in your creation and explain why you took over the activities or assets of a for-profit organization or converted from for-profit to nonprofit status; continue to Line 4. Yes No

- 3a** Explain your relationship with the other organization that resulted in your creation and why you took over the activities or assets of another organization.

Schedule G. Successors to Other Organizations (continued)

- 4 Do or will you maintain a working relationship with any of the persons listed in question 2 or with any for-profit organization in which these persons own more than a 35% interest? If "Yes," describe the relationship. Yes No

- 5 Were any assets transferred, whether by gift or sale, from the predecessor organization to you? If "Yes," provide a list of assets, indicate the value of each asset, explain how the value was determined, and attach an appraisal, if available. For each asset listed, also explain if the transfer was by gift, sale, or combination thereof and describe any restrictions that were placed on the use or sale of the assets. Yes No

- 6 Were any debts or liabilities transferred from the predecessor for-profit organization to you? If "Yes," provide a list of the debts or liabilities that were transferred to you, indicating the amount of each, how the amount was determined, and the name of the person to whom the debt or liability is owed. Yes No

- 7 Will you lease or rent any property or equipment to or from the predecessor organization or any persons listed in Line 2 or a for-profit organization in which these persons own more than a 35% interest? If "Yes," describe the arrangement(s) including how the lease or rental value was determined. Yes No

Schedule H. Organizations Providing Scholarships, Fellowships, Educational Loans, or Other Educational Grants to Individuals and Private Foundations Requesting Advance Approval of Individual Grant Procedures**Section I** Public charities and private foundations complete lines 1 through 8 of this section.

- 1 Describe the types of educational grants you provide to individuals, such as scholarships, fellowships, loans, etc., including the purpose, number and amount(s) of grants, how the program is publicized, and if you award educational loans, the terms of the loans.

- 2 Do you maintain case histories showing recipients of your scholarships, fellowships, educational loans, or other educational grants, including names, addresses, purposes of awards, amount of each grant, manner of selection, and relationship (if any) to officers, trustees, or donors of funds to you? If "No," explain. Yes No

- 3 Describe the specific criteria you use to determine who is eligible for your program (for example, eligibility selection criteria could consist of graduating high school students from a particular high school who will attend college, writers of scholarly works about American history, etc.).

- 4 Describe the specific criteria you use to select recipients (for example, specific selection criteria could consist of prior academic performance, financial need, etc.).

Schedule H. Organizations Providing Scholarships, Fellowships, Educational Loans, or Other Educational Grants to Individuals and Private Foundations Requesting Advance Approval of Individual Grant Procedures *(continued)*

- 5 Describe any requirement or condition you impose on recipients to obtain, maintain, or qualify for renewal of a grant (for example, specific requirements or conditions could consist of attendance at a four-year college, maintaining a certain grade point average, teaching in public school after graduation from college, etc.).

- 6 Describe your procedures for supervising the scholarships, fellowships, educational loans, or other educational grants. Explain whether you obtain reports and grade transcripts from recipients, or you pay grants directly to a school under an arrangement whereby the school will apply the grant funds only for enrolled students who are in good standing. Also, describe your procedures for taking action if the terms of the award are violated.

- 7 How do you determine who is on the selection committee for the awards made under your program?

- 8 Are relatives of members of the selection committee, or of your officers, directors, or substantial contributors eligible for awards made under your program? If "Yes," what measures do you take to ensure unbiased selections?

Yes No

Do not complete the rest of Schedule H. If you are a private foundation, you will be directed to complete Section II of Schedule H later in the application.

Schedule H. Organizations Providing Scholarships, Fellowships, Educational Loans, or Other Educational Grants to Individuals and Private Foundations Requesting Advance Approval of Individual Grant Procedures *(continued)*

Section II Private foundations complete lines 1 through 7 of this section. Public charities do not complete this section.

1 As a private foundation, do you want this application to be considered as a request for advance approval of grant making procedures? Yes No

If "No," do not complete the rest of Schedule H.

1a Check the box(es) indicating under which section(s) you want your grant making procedures to be considered.

4945(g)(1) - Scholarship or fellowship grant to an individual for study at an educational institution

4945(g)(3) - Other grants, including loans, to an individual for travel, study, or other similar purposes, to enhance a particular skill of the grantee or to produce a specific product

2 Do you represent that you will (1) arrange to receive and review grantee reports annually and upon completion of the purpose for which the grant was awarded, (2) investigate diversions of funds from their intended purposes, and (3) take all reasonable and appropriate steps to recover diverted funds, ensure other grant funds held by a grantee are used for their intended purposes, and withhold further payments to grantees until you obtain grantees' assurances that future diversions will not occur and that grantees will take extraordinary precautions to prevent future diversions from occurring? Yes No

3 Do you represent that you will maintain all records relating to individual grants, including information obtained to evaluate grantees, identify whether a grantee is a disqualified person, establish the amount and purpose of each grant, and establish that you undertook the supervision and investigation of grants described in Line 2? Yes No

4 Do you or will you award scholarships, fellowships, and educational loans to attend an educational institution based on the status of an individual being an employee of a particular employer? Yes No

If "No," do not complete the rest of Schedule H.

5 Will you comply with the seven conditions and either the percentage tests or facts and circumstances test for scholarships, fellowships, and educational loans to attend an educational institution as set forth in Revenue Procedures 76-47, 1976-2 C.B. 670, and 80-39, 1980-2 C.B. 772, which apply to inducement, selection committee, eligibility requirements, objective basis of selection, employment, course of study, and other objectives? Yes No

6 Do you or will you provide scholarships, fellowships, or educational loans to attend an educational institution to employees of a particular employer? If "No," continue to Line 7. Yes No

6a Will you award grants to 10% or fewer of the eligible applicants who were actually considered by the selection committee in selecting recipients of grants in that year as provided by Revenue Procedures 76-47 and 80-39? Yes No

7 Do you provide scholarships, fellowships, or educational loans to attend an educational institution to children of employees of a particular employer? Yes No

If "No," do not complete the rest of Schedule H.

7a Will you award grants to 25% or fewer of the eligible applicants who were actually considered by the selection committee in selecting recipients of grants in that year as provided by Revenue Procedures 76-47 and 80-39? Yes No

If "Yes," do not complete the rest of Schedule H.

Schedule H. Organizations Providing Scholarships, Fellowships, Educational Loans, or Other Educational Grants to Individuals and Private Foundations Requesting Advance Approval of Individual Grant Procedures *(continued)*

- 7b** Will you award grants to 10% or fewer of the number of employees' children who can be shown to be eligible for grants (whether or not they submitted an application) in that year, as provided by Revenue Procedures 76-47 and 80-39? If "Yes," describe how you will determine who can be shown to be eligible for grants without submitting an application, such as by obtaining written statements or other information about the expectations of employees' children to attend an educational institution; do not complete the rest of Schedule H. Yes No

- 7c** Will you award grants based on facts and circumstances that demonstrate that the grants will not be considered compensation for past, present, or future services or otherwise provide a significant benefit to the particular employer? If "Yes," describe the facts and circumstances you believe will demonstrate that the grants are neither compensatory nor a significant benefit to the particular employer. In your explanation, describe why you cannot satisfy either the 25% test or the 10% test in questions 7a and 7b. Yes No



Uncertainty Quantification Foundation

A Delaware Non-profit Corporation

IRS FORM 1023 ATTACHMENT

Part IV Narrative Description of Your Activities

Overview

A common goal in areas of science and engineering that rely on making accurate assessments of performance and risk for complex systems is to be able to guarantee the quality of the assessments being made. Very often the knowledge of the system is incomplete or contains some form of uncertainty--there can be uncertainty in form of the governing equations, in information about the parameters, in the collected data and measurements, and in the value of the input variables and their bounds. Even in the case where the dynamics of a system is known exactly at a fine-grain level, computationally more tractable coarse-grained models of the system often have to be derived under approximation, and thus contain uncertainty. Refining a model of a system under uncertainty can be done through multiple experiments and deploying sampling methods to determine the predictive capacity of the models and solidify knowledge about the parameters and form of governing equations, however, these determinations can be computationally costly, inaccurate, and in many cases impractical. Uncertainty Quantification (UQ) provides system agnostic methodologies that can be applied to make these determinations more accurately and at a lower computational cost.

Uncertainty Quantification is a burgeoning field of science at the intersection of mathematics, statistics, engineering, and data science that has gained increasing practical importance in the natural sciences and engineering as statistical reasoning has become an essential component of modern scientific thinking. The need to make critical decisions about complex systems with limited information is common to nearly all areas of of science and industry. Often inputs or outputs in physical experiments can be unknown, hard to measure, or have errors; data may be statistical, probabilistic, or have innate randomness. Recent theories in UQ are fundamental to the development of a rigorous methodology for validation under uncertainty. Scientific decisions across many fields of science are ultimately based on the predictions of future outcomes of statistical experiments. These predictions are uncertain, and hence scientists need to quantify their uncertainty. UQ provides the scientific framework for tackling this task, and a

deep understanding of UQ can not only refine these predictions, but it can open up the prospect of a whole host of new discoveries that would not be possible without it.

Since the role of Newtonian mechanics, and its underlying calculus that considers no uncertainty, has been replaced with statistical mechanics that can be described by probability theory there has been a gradual trend in science to consider the influence of uncertainty on problems. From the late nineteenth century until the late twentieth century the leading theory in quantifying uncertainty has been probability theory, which had remained largely consistent in its formulations and interpretations since Newton and, later, Bayes (circa 1763). The expression of uncertainty using probability theory, however, has been increasingly challenged in the twentieth century, initially by Max Black in 1937 with his studies on vagueness, and developing into numerous mathematical uncertainty theories since 1965. With the increased use, speed, and capacity of modern computational modeling a new perspective on uncertainty assessment and quantification emerged (circa 2010) that formed the basis of the modern field of Uncertainty Quantification. Many people, however, remain unfamiliar with UQ, or how to apply it, and UQ requires a paradigm shift in thinking to employ successfully.

Uncertainty Quantification Foundation is an organization whose mission is: (1) to broaden the study and application of uncertainty quantification, and (2) to support the development and dissemination of advanced tools, technologies, and methodologies for UQ. We are scientists, engineers, mathematicians, data scientists, and statisticians working to push forward the field of uncertainty quantification, provide a bridge between the work of researchers and organizations that can drive innovation across the public and private sectors, and advance fundamental science that can be used to develop advanced tools and technologies to foster innovation for the broader public benefit.

Scientific Research

A central focus of Uncertainty Quantification Foundation is fundamental scientific research in the fields of uncertainty quantification and predictive science. We will employ scientists and researchers from various fields, with specialties in the mathematics, statistics, data science, and engineering, to pursue the expansion of knowledge within uncertainty quantification. These researchers will work to develop new mathematical theories underpinning UQ, discover new computational methods to approach experiments under uncertainty, and increase knowledge of fundamental principles that will explore how uncertainty quantification broadly interacts with the natural sciences and engineering. As recent examples of our research, see “Optimal Bounds on Nonlinear Partial Differential Equations in Model Certification, Validation, and Experiment Design”, in: K. Kleese van Dam, et al. (Eds.), *Advanced Analysis Solutions for Leading Experimental Techniques* 978-981-120-444-9 (World Scientific, 2020) as well as “Is Automated Materials Design and Discovery Possible?”, in: T. Lookman, et al. (Eds.), *Materials Discovery and Design: By Means of Data Science and Optimal Learning* 978-3-319-99465-9 (Springer, 2018). Currently, we have a research project that is in preparation for publication, “Rigorous Bounds on Penetration Depth for Models of Stopping Power,” that we expect to submit for review in early 2021.

Our objective is to have all research published in the form of peer-reviewed articles or chapters in scientific journals, books, or trade publications. Any computational frameworks developed either through our research or as the primary focus of our research will be made freely available to the public under an open source software license, and will have no associated fee to download current releases or development version source code. Examples of all of our computational frameworks freely available to the public can be found on our public repository at <https://github.com/uqfoundation>.

A panel of experts in uncertainty quantification and predictive science, with proven academic credentials, have been assembled as the Science Advisory Committee and will provide recommendations and advice to the Uncertainty Quantification Foundation Board of Directors on research objectives and directions the corporation should pursue; the Board takes those recommendations and advice as the basis for establishing avenues of research the corporation will embark upon. Members of the Science Advisory Committee are appointed to their positions through resolution of the Board following a screening and interview process to ensure members meet a high standard of academic expertise in the field.

Research at Uncertainty Quantification Foundation is funded through our general fund, donations from individual persons, public and private grants, fees generated from our Education and Advisory programs (see below for details of these activities), and through sponsored research. We have modeled our sponsored research programs after the US Department of Energy National Labs' Collaborative Research and Work-for-Hire programs, and a central fixture of any agreement with a sponsoring entity will be a requirement that the resulting research is done in the public interest.

Due to the nature of scientific research Uncertainty Quantification Foundation believes that it is necessary to dedicate a majority of our time and resources to pursuing research objectives in order to produce credible and valuable discoveries. Our expectation is that the corporation will dedicate approximately 60% of our time and 50% of our resources to our Scientific Research Program. This aligns with our stated mission and exempt purpose as the majority of our efforts will be directed at advancing scientific knowledge in the public interest.

Education

Uncertainty Quantification Foundation provides education on uncertainty quantification and predictive science through lectures, classroom-like training courses, hands-on workshops, and panel discussions. Through these formats our trainers, who are also researchers in the field they are teaching about, can cover each topic broadly to provide a generalized understanding of the subject, focus in on specific topics for in depth study and discussion, and/or engage with participants as they work through example scenarios and problems sets to develop a practical understanding of how to apply this knowledge. Examples of courses that have been conducted are the "Mastering Machine Learning" workshop presented to the 412th Test Wing Electronic Warfare Group at Edwards Air Force Base, and the "Fundamental Concepts in Data Science" lecture series sponsored by Los Alamos National Lab Materials Science in Radiation and Dynamic Extremes department.

Educational programs have been conducted in-person either at the location of the entity that has requested the course, or at location nearby the sponsoring organization that is accessible to the public. Uncertainty Quantification Foundation is currently working to implement online/virtual courses as well as hosting publicly available video lectures on our website. Additionally, a central part of our planned UQ conferences (see Community Outreach below) will be lectures and panel discussions, by experts in the field, that will be open to conference participants as well as the public.

By offering education events, in-person and online courses, and public lectures, Uncertainty Quantification Foundation is educating the public on subjects useful to individuals and beneficial to the community, and advocating for more broad utilization of important scientific principles that can lead to further scientific and commercial innovations.

The corporation's educational programs will be funded through our general fund, direct donations from individual persons, and fees collected for educational services. We expect that

this activity will comprise approximately 25% of our time and require a commitment of 15% of our resources.

Advisory Program

Uncertainty Quantification Foundation seeks out opportunities to broaden the application of uncertainty quantification and disseminate advanced UQ tools and technologies through our Advisory Program. Through this program the corporation will provide our expertise in uncertainty quantification and predictive science on a work-for-hire basis with the objective of assisting public and private entities in implementing UQ tools and technologies within their organizations. This work can take the form of providing consulting services for the design or deployment of UQ technologies, assessments of the robustness and validity of existing systems, or expert input on the composition of technical or scientific papers. An example of this program was a partnership with Vybe Energy, an engineering firm that provides energy control systems and techno-financial optimization services based in Falls Church, VA, where Uncertainty Quantification Foundation assisted Vybe with integrating a UQ-based machine learning optimizer into their software for optimizing hybrid energy systems and batteries.

We believe that by helping public and private entities realize the utility of uncertainty quantification for solving real-world problems we can not only increase awareness of UQ as a field of study and education professionals on its application, but drive demand for more experts in the field thereby increasing the number of university students pursuing the field.

Our Advisory Program is funded through donations and fees for services rendered, and we estimate that this program will require approximately 10% of the corporation's time and 15% of our resources.

Community Outreach Program

A final pillar of how we see our mission of advancing uncertainty quantification and predictive science is in fostering a connection to a broader UQ community that includes persons in the public and private spheres and that connects scientists and industry representatives. Our avenue for conducting this community outreach will be through an annual conference that coincides with the annual meeting of the corporation membership. This will create the opportunity for those studying and working the the field of uncertainty quantification and predictive science to meet, make new connections, share ideas, and build relationships. A central part of this conference will be talks and panel discussions addressing current topics in the field as well as public educational lectures. This conference will be funded through donations and other program fees, and is expected to comprise 5% of the corporation's time and resources.

The funds received through the entirety of the corporation's activities will be used exclusively for the charitable purposes within the meaning of Section 501(c)(3) of the Internal Revenue Code and will not be used for personal gains of any sort.

Other Headings

Please Note:

- Section 1.501(c)(3)-1(d)(2) of the regulations states that the term "charitable" is used in section 501(c)(3) of the Code in its generally accepted legal sense and includes the advancement of education or science.

- Section 1.501(c)(3)-1(d)(3)(i)(a) of the regulations states that the term educational, as used in IRC 501(c)(3), relates to the instruction or training of the individual for the purpose of improving or developing his capabilities or the instruction of the public on subjects useful to the individual and beneficial to the community.
- Example 2 in Section 1.501(c)(3)-1(d)(3)(ii) of the regulations, makes it clear that "An organization whose activities consist of presenting public discussion groups, forums, panels, lectures, or other similar programs," is educational.
- Section 1.501(c)(3)-1(d)(5)(iii)(a) of the regulations states that scientific research, as used in IRC 501(c)(3), will be regarded as as carried on in the public interest if the results of such research are (including any patents, copyrights, processes, or formulae resulting from from such research) are made available to the public on a nondiscriminatory basis.
- Section 1.501(c)(3)-1(d)(5)(iii)(c)(2) of the regulations states that scientific research, as used in IRC 501(c)(3), will be regarded as as carried on in the public interest if the scientific research is carried on for the purpose of obtaining scientific information, which is published in a treatise, thesis, trade publication, or in any other form that is available to the interested public.
- Section 1.501(c)(3)-1(d)(5)(v)(a) of the regulations makes it clear that the fact that any organization carries on research which is not in furtherance of an exempt purpose described in IRC 501(c)(3) "will not precluded such organization from meeting the requirements of section 501(c)(3) so long as the organization meets the organizational test and is not operated for the primary purpose of carrying on such research."
- Section 1.501(c)(3)-1(e)(1) of the regulations states that an organization may meet the requirements of section 501(c)(3) although it operates a trade or business as a substantial part of its activities, if the operation of such trade or business is in furtherance of the organization's exempt purpose or purposes and if the organization is not organized or operated for the primary purpose of carrying on an unrelated trade or business.
- Section 501(c)(3) of the Internal Revenue Code provides tax exemption for organizations organized and operated exclusively for charitable and/or educational purposes.

Financial Information

The sources of the corporation's income derive from general public donations. Additional income sources will include grants, sponsorship and fundraising. The corporation disposes its income through the decisions made by its board of directors or through the decisions of the duly elected treasurer, whose power to pay expenses is set out by the board or the corporation's bylaws in accordance to the corporation's purpose. Expenses paid by the corporation include, but are not limited to: equipment purchases and rentals, insurance premiums, internet web site fees, publications, advertising, and miscellaneous board expenses.

Part IV Your Activities (Continued)

Question 6 and 6a. Do you or will you attempt to influence legislation? If "Yes," explain how you attempt to influence legislation. Did you or will you make an election to have your legislative activities measured by expenditures by filing Form 5768?

We have not yet spent any volunteer time or any part of our budget to influence legislation. Our legislative activities will always be insubstantial and less than 2% of our volunteer time and expenses, if we decide to do so. Currently we have no plans or program in place to undertake such activities.

Fundraising Activities

Question 16. Description of other fundraising activities:

Mail Solicitations

We will be sending fundraising letters to businesses and individuals at least annually to request that they donate funds to support Uncertainty Quantification Foundation.

Phone Solicitation

We will be fundraising by telephone solicitation. It involves calling prospective or existing donors and asking for support.

Email Solicitation

We will be utilizing internet solicitation methods, including but not limited to email, social media contacts and other mediums.

Personal Solicitation

We will be fundraising by approaching a broad spectrum of entities and individuals in person to share the mission of Uncertainty Quantification Foundation and seek public support.

Foundation Grant Solicitations

We will be applying for private or public foundation grants. We have no current arrangement for this method at this time.

Accept Donations on Your Website

We will accept donations on our website. This function is currently in development and will be accessible through the "donate" tab on the website of the corporation. The payments are processed by PayPal, Inc. and are directed to the corporation's bank account.

Accept Donations Through Another Organization's Website

We will accept donations through our development repository hosted on GitHub (<https://github.com/uqfoundation>). This function is currently in development and will be accessible through "sponsor" button on the our repository on GitHub. The payments are processed by Stripe, Inc. and are directed to the corporation's bank account.

Other

Lectures, Panel Discussions, and Talks. We will be accepting donations during our lectures, panel discussions, and talks as part of our public education program. (Please see the Narrative of our Activities for further information regarding this activity.)

Web-related Donations. We may make arrangements with commercial organizations for donations based on sales referrals. For example, some web sites (such as Amazon.com) allow nonprofit organizations to receive donations for sales which were referred from their web site. Some local businesses in our area might also make such offers to non-profit organizations. We would only consider this for items and services related to our organization's activities and topics (e.g. books on uncertainty quantification and predictive science). We currently have no specific plans or contracts, but it's prudent to mention the possibility.

Part V Compensation and Other Financial Arrangements

Question 1g. Do or will you have any other practices you use to set reasonable compensation? If "Yes," describe these practices.

We have a number of processes established within our bylaws to ensure reasonable compensation through annual review of substantial transactions by the corporation. First, Article 5 Section 6 clearly establishes that members of the board can not be compensated for their duties as directors. Second, as detailed in Article 14 Section 6, a statement will be provided to all directors on an annual basis of any transaction (i) to which the corporation, or its parent or subsidiary, was a party, (ii) in which an "interested person" had a direct or indirect material financial interest, and (iii) which involved more than \$50,000 or was one of several transactions with the same interested person involving, in the aggregate, more than \$50,000. For these purposes an "interested party" is either a director or officer of the corporation, or any holder of more than 10% of the voting power of the corporation. The statement will include all relevant detail about the transaction or series of transactions. Third, as stated in Article 14 Sections 2-3 any voting member or director has the right to examine any of the corporation's books or records and to make copies and extracts of them. Finally, Article 7 Section 2.3 and Article 8 Section 5.1, respectively, state that any or all directors can be removed with or without cause by a majority vote of the members and any officer can be removed with or without cause by resolution of the board.

Part VI Financial Data

A. Statement of Revenue and Expenses - Itemized List of Gross Receipts (Line 9)					
Revenue Title	Current Year	FY2019	FY2018	FY2017	FY2016
Fees from Educational Programs - Workshops	\$0	\$0	\$24,950	\$0	\$0
Fees from Educational Programs - Lectures	\$0	\$0	\$0	\$0	\$0
Fees from Advisory Program - Technology Design	\$92,219	\$56,138	\$0	\$0	\$0
Fees from Advisory Program - Technology Integration	\$1,590	\$3,948	\$0	\$0	\$0
Fees from Advisory Program - Technical Paper Advisory	\$20,081	\$12,843	\$0	\$0	\$0

A. Statement of Revenue and Expenses - Itemized List of Unusual Grants (Line 12)

Grant	Current Year	FY2019	Clarification Notes
Company A (Genetics Research Company) - Scientific Research Grant for Adaptive Learning and Uncertainty Quantification within Molecular Dynamics Simulations	\$275,250	\$24,750	Company A, a genetics company based in Santa Clara, CA with no prior association with Uncertainty Quantification Foundation (UQF), engaged UQF through our Advisory Program for Technology Design Services for assistance in utilizing uncertainty quantification technology in their genetics modeling software. After initial discussions regarding the objectives of the Advisory engagement and UQF's research road map, Company A elected to provide a \$300,000 grant to UQF for one year's operating expenses to accelerate the timeline of our planned research into applying adaptive learning and uncertainty quantification to molecular dynamics problems. This sort of fundamental research was outside of their scope of expertise and too high risk to justify through investment in their own resources (there was no direct commercial outcome), however, they were able to justify the grant to a public research institution to conduct the investigation. The \$300,000 grant far exceeded any funding UQF had received up to that point, or that we expected to receive in the next year(s) and would put UQF's exempt status at serious risk, however, the benefit to scientific knowledge that the research could contribute would be significant.

A. Statement of Revenue and Expenses - Itemized List of Professional Fees (Line 22)

Expense Title	Current Year	FY2019	FY2018	FY2017	FY2016
60900 - Business Expenses - Other	\$160	\$60	\$0	\$0	\$0
62150 - Outside Contract Services (Independent Contractors)	\$347,437	\$84,410	\$17,374	\$0	\$0
65030 - Printing and Copying Services	\$0	\$0	\$1,621	\$0	\$0
65050 - Telephone, Telecommunications Services	\$187	\$0	\$0	\$0	\$0
65060 - Web Hosting and Domain Services	\$59	\$58	\$59	\$52	\$0
65111 - Bank Wire Transfer Fees	\$383	\$0	\$0	\$0	\$0
66010 - Payroll Processing Services	\$1,384	\$523	\$58	\$0	\$0

A. Statement of Revenue and Expenses - Itemized List of Expenses not Otherwise Classified (Line 23)					
Expense Title	Current Year	FY2019	FY2018	FY2017	FY2016
60920 - Business Registration Fees	\$90	\$0	\$130	\$0	\$532
60941 - Annual Report Fees	\$231	\$25	\$50	\$50	\$0
65040 - Office Supplies and Equipment	\$1,712	\$336	\$171	\$0	\$0
66562 - Payroll Tax Liabilities	\$3,910	\$228	\$0	\$0	\$0

B. Balance Sheet - Itemized List of Other Liabilities (Line 15)	
Liability Title	FY2019
24110 - Payroll Tax Liabilities	\$95

Schedule E Effective Date

Question 2a. Explain why you did not file Form 1023 within 27 months of formation, how you acted reasonably and in good faith, and how granting an earlier effective date will not prejudice the interests of the government.

You may want to include the events that lead to the failure to timely file Form 1023 and to the discovery of the failure, any reliance on the advice of a qualified tax professional and a description of the engagement and responsibilities of the professional as well as the extent to which you relied on the, a comparison of (1) what your aggregate tax liability would be if you had filed this application within the 27-month period with (2) what your aggregate liability would be if you were exempt as of your formation date, or any other information you believe will support your request for relief.

Through the course of the formation of the Uncertainty Quantification Foundation as a corporation, the leadership of the corporation failed to file Form 1023 within 27 months of formation due to misunderstandings of the filing requirements and mistakes in the process of forming the corporation. At the time of formation, in December of 2016, the founders of the corporation had developed a plan for organizing a public charity to conduct scientific research in predictive science and carry out programs for educating the public about uncertainty quantification and predictive science. The founders of the corporation, however, did not fully appreciate the impact related to application for tax exemption of initiating the formation process at the close of the calendar year and establishing a calendar year based fiscal/tax year. Additionally, at the time of formation, while a plan had been developed regarding the purpose and types of exempt activities that the corporation would engage in, it became rapidly apparent that there were many concrete steps that should have been completed prior to formation that were not done. None of the founders had a background in business or nonprofits, all involved were working to start up the corporation part time in the spare time that they had outside of their careers, and were funding the organization of the corporation entirely out-of-pocket.

As a result of the missteps that were made during the formation of the corporation, Uncertainty Quantification Foundation spent significant time during 2017 and 2018 creating the structure of the corporation. Time was allocated to drafting and approving bylaws, creating the corporation’s website, and debating how the corporation would balance program offerings; from 2016 through July of 2018 the corporation generated no revenue other than membership fees from the founding members. During this time, the requirements for applying for exempt status were reviewed, and the statement in the Form 1023 instructions that “[a]ny organization that

has gross receipts in each tax year of normally not more than \$5,000" were not required to obtain recognition of exemption was mistakenly understood to mean that the corporation would have 27 months to file for exemption after it had begun to accumulate gross receipts normally in excess of \$5,000. At the time, the corporation had generated significantly less than \$5,000 in each tax year, and did not expect to exceed that amount in the near term as the structure of the organization was still being created. In the second half of 2018 Uncertainty Quantification Foundation was engaged by the US Department of Defense to conduct a machine learning workshop at Edwards Air Force Base, and further attention to the exemption application was put on hold while the corporation focused on ensuring that it was properly registered with the Federal Government and the US Department of Defense so the course could be conducted. At the conclusion of the course, we returned our attention to establishing tangible structure to the corporation and its programs, initiated efforts to recruit a Science Advisory Committee to provide advice on a research road map, and expanding the Board of Directors to five members to help manage the amount of work necessary to run the corporation. The original founders of the corporation were overwhelmed with trying to get the organization fully operational.

In early July of 2020 the corporation's Chief Executive Officer, who was now working full-time for the Uncertainty Quantification Foundation, contacted the IRS to check on the status of the corporation's 2019 tax filing and in discussion with the IRS agent discovered that the corporation had missed the 27 month filing deadline for Form 1023. At that point the CEO brought this to the attention of the Board and requested that the Board immediately shift their focus to taking the required actions to ensure that the corporation had all the necessary information to file the Form 1023. The decision was made by the Board to ensure proper attention was paid to each aspect of the application, since the deadline was already missed, with the requirement that the application for exemption be completed by the close of 2020. It was not until this process was underway that the means to which the corporation was planning on securing public support and satisfying the public support test was understood to be insufficient and a large effort was also initiated to completely reformulate the corporations entire public support model and program focus, based on a realistic understanding of what the corporation could do and where support could realistically be expected to come from.

Over the course of the four years that the Uncertainty Quantification has been in existence the corporation has not engaged in any activities that do not further its exempt purpose, nor does the corporation generate any revenue from investments or endowments. With the exception of an unusual grant (see Part VI Financial Data above) for scientific research, the corporation net income has been relatively small (less than \$15,000 in any given year, with two years of losses) and the estimated total tax liability of the corporation (including an estimate of 2020 taxes) if the Uncertainty Quantification Foundation were to file as a for-profit corporation would be approximately \$5,200. This amount is comparatively small in relation to average expected tax liabilities for small businesses, however, as we have been operating as a nonprofit this amount would provide such a burden as to further delay our ability to appropriately fund staff required to carry out our programs. Up to this point we have had to rely on independent contractors and professional services to temporarily staff up for programs and this is not sustainable for the long term success of the corporation. We are asking for a grant of relief in the form of a recognition of an effective date, if exempt status is granted, coinciding with the formation date of the corporation.