Form **990**

Department of the Treasury
Internal Revenue Service

Return of Organization Exempt From Income Tax

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

▶ Do not enter social security numbers on this form as it may be made public.

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

OMB No. 1545-0047

2021

Open to Public Inspection

A For the 2021 calendar year, or tax year beginning 01-01-2021 , and ending 12-31-2021

B Check if applicable:
- ☐ Address change
- ☐ Name change
- ☐ Initial return
- ☐ Final return/terminated
- ☐ Amended return
- ☐ Application pending

C Name of organization
THE ASPEN INSTITUTE INC

Doing business as

Number and street (or P.O. box if mail is not delivered to street address) Room/suite
2300 N STREET NW 700

City or town, state or province, country, and ZIP or foreign postal code
WASHINGTON, DC 20037

D Employer identification number
84-0399006

E Telephone number
(202) 736-5800

G Gross receipts $ 479,307,525

F Name and address of principal officer:
DANIEL R PORTERFIELD
2300 N STREET NW 700
WASHINGTON, DC 20037

H(a) Is this a group return for subordinates? ☐ Yes ☑ No
H(b) Are all subordinates included? ☐ Yes ☐ No
If "No," attach a list. See instructions.
H(c) Group exemption number ▶

I Tax-exempt status: ☑ 501(c)(3) ☐ 501(c) ( ) ◀ (insert no.) ☐ 4947(a)(1) or ☐ 527

J Website: ▶ WWW.ASPENINSTITUTE.ORG

K Form of organization: ☑ Corporation ☐ Trust ☐ Association ☐ Other ▶

L Year of formation: 1949

M State of legal domicile: CO

Part I Summary

Activities & Governance

1 Briefly describe the organization's mission or most significant activities:
THE ASPEN INSTITUTE IS A PEOPLE-SERVING ORGANIZATION THAT WORKS WITH PARTNERS ACROSS THE UNITED STATES AND AROUND THE WORLD TO BUILD A FREE, JUST, AND EQUITABLE SOCIETY. THE INSTITUTE CREATES POSITIVE CHANGE BY INSPIRING INCLUSIVE DIALOGUE AND EMPOWERING LEADERS TO SOLVE SOCIETY'S BIGGEST CHALLENGES.

2 Check this box ▶☐ if the organization discontinued its operations or disposed of more than 25% of its net assets.

3	Number of voting members of the governing body (Part VI, line 1a)	3	65
4	Number of independent voting members of the governing body (Part VI, line 1b)	4	64
5	Total number of individuals employed in calendar year 2021 (Part V, line 2a)	5	720
6	Total number of volunteers (estimate if necessary)	6	95
7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	10,637,859
b	Net unrelated business taxable income from Form 990-T, Part I, line 11	7b	0

			Prior Year	Current Year
Revenue	8	Contributions and grants (Part VIII, line 1h)	131,254,703	140,695,602
	9	Program service revenue (Part VIII, line 2g)	17,868,195	28,586,934
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	1,961,152	1,822,532
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	178,771	141,618
	12	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	151,262,821	171,246,686
Expenses	13	Grants and similar amounts paid (Part IX, column (A), lines 1–3)	16,945,859	18,858,005
	14	Benefits paid to or for members (Part IX, column (A), line 4)	0	0
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)	65,246,455	69,925,233
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	0	0
	b	Total fundraising expenses (Part IX, column (D), line 25) ▶3,610,042		
	17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	46,933,372	54,990,527
	18	Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25)	129,125,686	143,773,765
	19	Revenue less expenses. Subtract line 18 from line 12	22,137,135	27,472,921

			Beginning of Current Year	End of Year
Net Assets or Fund Balances	20	Total assets (Part X, line 16)	394,226,132	465,514,933
	21	Total liabilities (Part X, line 26)	41,995,580	53,081,498
	22	Net assets or fund balances. Subtract line 21 from line 20	352,230,552	412,433,435

Part II Signature Block

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

Sign Here

Signature of officer — Date: 2022-09-29

DANIEL R PORTERFIELD PRESIDENT/CEO
Type or print name and title

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN P01365820
Firm's name ▶ MARCUM LLP			Firm's EIN ▶ 11-1986323	
Firm's address ▶ 1899 L STREET NW SUITE 850 WASHINGTON, DC 20036			Phone no. (202) 227-4000	

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

Part III Statement of Program Service Accomplishments

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

1 Briefly describe the organization's mission:

THE ASPEN INSTITUTE IS A PEOPLE-SERVING ORGANIZATION THAT WORKS WITH PARTNERS ACROSS THE UNITED STATES AND AROUND THE WORLD TO BUILD A FREE, JUST, AND EQUITABLE SOCIETY. THE INSTITUTE CREATES POSITIVE CHANGE BY INSPIRING INCLUSIVE DIALOGUE AND EMPOWERING LEADERS TO SOLVE

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

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

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

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

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

4a (Code:) (Expenses $ 73,099,258 including grants of $ 18,012,766) (Revenue $ 13,099,707)

POLICY PROGRAMS: THE ASPEN INSTITUTE'S POLICY PROGRAMS EXPLORE AND IDENTIFY SOLUTIONS FOR PROBLEMS RANGING FROM ECONOMIC DISTRESS TO EDUCATIONAL OPPORTUNITY, FROM CLIMATE CHANGE TO RACIAL DISPARITIES, IN AN EFFORT TO INFLUENCE DECISION-MAKERS IN THE PUBLIC AND PRIVATE SECTORS TO ADVANCE THE BEST AND MOST INSPIRED PROPOSALS. OUR POLICY PROGRAMS RANGE IN SIZE FROM $100,000 TO $15 MILLION IN ANNUAL REVENUE AND EXPENSES.

4b (Code:) (Expenses $ 12,074,317 including grants of $) (Revenue $ 60,501)

CAMPUS ACTIVITIES: IN ADDITION TO ITS HEADQUARTERS IN WASHINGTON, DC, THE ASPEN INSTITUTE ALSO CONDUCTS MUCH OF ITS WORK ON ITS FOUNDING CAMPUS IN ASPEN, COLORADO, WHICH PROVIDES NATURAL BEAUTY AND QUIET SURROUNDINGS THAT ENCOURAGE THOUGHTFUL REFLECTION THAT REFRESHES MIND, BODY AND SPIRIT. ONE OF OUR PROGRAMS THAT USE THE CAMPUS IS OUR ASPEN SEMINAR WHICH CHALLENGES INDIVIDUALS TO THINK MORE DEEPLY, LISTEN MORE ATTENTIVELY, AND REFINE THEIR ABILITY TO LEAD IN AN INCREASINGLY COMPLEX AND CONFLICTING WORLD. SEMINAR PARTICIPANTS ENGAGE IN CHALLENGING CONVERSATIONS ABOUT ENDURING QUESTIONS OF ETHICAL AND EFFECTIVE LEADERSHIP, GAINING A GREATER CAPACITY TO LEAD WITH COURAGE AND CONVICTION.

4c (Code:) (Expenses $ 6,856,285 including grants of $ 291,255) (Revenue $ 107,688)

ASPEN GLOBAL LEADERSHIP NETWORK: THE ASPEN GLOBAL LEADERSHIP NETWORK IS A GROWING, WORLDWIDE COMMUNITY OF ENTREPRENEURIAL LEADERS FROM BUSINESS, GOVERNMENT, AND THE NONPROFIT SECTOR DRAWING FROM FELLOWS IN OVER 60 COUNTRIES WHO SHARE A COMMITMENT TO ENLIGHTENED LEADERSHIP AND TO USING THEIR EXTRAORDINARY CREATIVITY, ENERGY, AND RESOURCES TO TACKLE THE FOREMOST SOCIETAL CHALLENGES OF OUR TIMES. ALL HAVE PARTICIPATED IN THE FLAGSHIP HENRY CROWN FELLOWSHIP OR IN ONE OF THE DOZEN ASPEN INSTITUTE LEADERSHIP INITIATIVES IT HAS INSPIRED IN THE UNITED STATES, AFRICA, CHINA, CENTRAL AMERICA, INDIA, AND THE MIDDLE EAST. EACH SUMMER, THE NETWORK GATHERS TO RECONNECT AND RECOMMIT TO ACTION AT THE ANNUAL RESNICK ASPEN ACTION FORUM IN ASPEN, COLORADO.

(Code:) (Expenses $ 20,382,851 including grants of $ 553,984) (Revenue $ 6,328,121)

OTHER RESTRICTED PROGRAMS/PUBLIC PROGRAMS/YOUTH AND ENGAGEMENT/SEMINARS

4d Other program services (Describe in Schedule O.)
(Expenses $ 20,382,851 including grants of $ 553,984) (Revenue $ 6,328,121)

4e **Total program service expenses ▶** 112,412,711

Part IV Checklist of Required Schedules

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

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

			Yes	No
22	Did the organization report more than $5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? *If "Yes," complete Schedule I, Parts I and III*	22	Yes	
23	Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5, about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? *If "Yes," complete Schedule J*	23	Yes	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than $100,000 as of the last day of the year, that was issued after December 31, 2002? *If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a*	24a		No
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b		
c	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	24c		
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d		
25a	**Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.** Did the organization engage in an excess benefit transaction with a disqualified person during the year? *If "Yes," complete Schedule L,* Part I	25a		No
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? *If "Yes," complete Schedule L,* Part I	25b		No
26	Did the organization report any amount on Part X, line 5 or 22 for receivables from or payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons? *If "Yes," complete Schedule L, Part II*	26		No
27	Did the organization provide a grant or other assistance to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or employee thereof, a grant selection committee member, or to a 35% controlled entity (including an employee thereof) or family member of any of these persons? *If "Yes," complete Schedule L,* Part III	27		No
28	Was the organization a party to a business transaction with one of the following parties (see the Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):			
a	A current or former officer, director, trustee, key employee, creator or founder, or substantial contributor? *If "Yes," complete Schedule L, Part IV*	28a		No
b	A family member of any individual described in line 28a? *If "Yes," complete Schedule L, Part IV*	28b		No
c	A 35% controlled entity of one or more individuals and/or organizations described in line 28a or 28b? *If "Yes," complete Schedule L, Part IV*	28c		No
29	Did the organization receive more than $25,000 in non-cash contributions? *If "Yes," complete Schedule M*	29	Yes	
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M*	30	Yes	
31	Did the organization liquidate, terminate, or dissolve and cease operations? *If "Yes," complete Schedule N, Part I*	31		No
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? *If "Yes," complete Schedule N, Part II*	32		No
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? *If "Yes," complete Schedule R, Part I*	33		No
34	Was the organization related to any tax-exempt or taxable entity? *If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1*	34		No
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	35a		No
b	If 'Yes' to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? *If "Yes," complete Schedule R, Part V, line 2*	35b		
36	**Section 501(c)(3) organizations.** Did the organization make any transfers to an exempt non-charitable related organization? *If "Yes," complete Schedule R, Part V, line 2*	36		No
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? *If "Yes," complete Schedule R, Part VI*	37		No
38	Did the organization complete Schedule O and provide explanations on Schedule O for Part VI, lines 11b and 19? **Note.** All Form 990 filers are required to complete Schedule O.	38	Yes	

Part V **Statements Regarding Other IRS Filings and Tax Compliance**

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

					Yes	No
1a	Enter the number reported in box 3 of Form 1096. Enter -0- if not applicable	1a	816			
b	Enter the number of Forms W-2G included on line 1a. Enter -0- if not applicable	1b	0			
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?			1c	Yes	

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

					Yes	No
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	**2a**	720			
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? **Note.** If the sum of lines 1a and 2a is greater than 250, you may be required to e-file. See instructions.			**2b**	Yes	
3a	Did the organization have unrelated business gross income of $1,000 or more during the year? . . .			**3a**	Yes	
b	If "Yes," has it filed a Form 990-T for this year? *If "No" to line 3b, provide an explanation in Schedule O* . . .			**3b**	Yes	
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?			**4a**		No
b	If "Yes," enter the name of the foreign country: ▶ See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).					
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . .			**5a**		No
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?			**5b**		No
c	If "Yes," to line 5a or 5b, did the organization file Form 8886-T?			**5c**		
6a	Does the organization have annual gross receipts that are normally greater than $100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions? . . .			**6a**		No
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?			**6b**		
7	**Organizations that may receive deductible contributions under section 170(c).**					
a	Did the organization receive a payment in excess of $75 made partly as a contribution and partly for goods and services provided to the payor?			**7a**	Yes	
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?			**7b**	Yes	
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?			**7c**		No
d	If "Yes," indicate the number of Forms 8282 filed during the year	**7d**				
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?			**7e**		No
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?			**7f**		No
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?			**7g**		
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?			**7h**		
8	**Sponsoring organizations maintaining donor advised funds.** Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?			**8**		
9	**Sponsoring organizations maintaining donor advised funds.**					
a	Did the sponsoring organization make any taxable distributions under section 4966?			**9a**		
b	Did the sponsoring organization make a distribution to a donor, donor advisor, or related person? . . .			**9b**		
10	**Section 501(c)(7) organizations.** Enter:					
a	Initiation fees and capital contributions included on Part VIII, line 12 . . .	**10a**				
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	**10b**				
11	**Section 501(c)(12) organizations.** Enter:					
a	Gross income from members or shareholders	**11a**				
b	Gross income from other sources. (Do not net amounts due or paid to other sources against amounts due or received from them.)	**11b**				
12a	**Section 4947(a)(1) non-exempt charitable trusts.** Is the organization filing Form 990 in lieu of Form 1041?			**12a**		
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year.	**12b**				
13	**Section 501(c)(29) qualified nonprofit health insurance issuers.**					
a	Is the organization licensed to issue qualified health plans in more than one state? . . . . **Note.** See the instructions for additional information the organization must report on Schedule O.			**13a**		
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	**13b**				
c	Enter the amount of reserves on hand	**13c**				
14a	Did the organization receive any payments for indoor tanning services during the tax year?			**14a**		No
b	If "Yes," has it filed a Form 720 to report these payments? *If "No," provide an explanation in Schedule O* . .			**14b**		
15	Is the organization subject to the section 4960 tax on payment(s) of more than $1,000,000 in remuneration or excess parachute payment(s) during the year? . . . . If "Yes," see the instructions and file Form 4720, Schedule N.			**15**		No
16	Is the organization an educational institution subject to the section 4968 excise tax on net investment income? . . If "Yes," complete Form 4720, Schedule O.			**16**		No
17	**Section 501(c)(21) organizations.** Did the trust, any disqualified person, or mine operator engage in any activities that would result in the imposition of an excise tax under section 4951, 4952, or 4953? . . If "Yes," complete Form 6069.			**17**		

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

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

Section A. Governing Body and Management

				Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year. If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O.	**1a** 65			
b	Enter the number of voting members included in line 1a, above, who are independent	**1b** 64			
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?		**2**		No
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person?		**3**		No
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?		**4**		No
5	Did the organization become aware during the year of a significant diversion of the organization's assets?		**5**		No
6	Did the organization have members or stockholders?		**6**		No
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?		**7a**		No
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?		**7b**		No
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:				
a	The governing body?		**8a**	Yes	
b	Each committee with authority to act on behalf of the governing body?		**8b**	Yes	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? *If "Yes," provide the names and addresses in Schedule O*		**9**		No

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

			Yes	No
10a	Did the organization have local chapters, branches, or affiliates?	**10a**		No
b	If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?	**10b**		
11a	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?	**11a**	Yes	
b	Describe on Schedule O the process, if any, used by the organization to review this Form 990.			
12a	Did the organization have a written conflict of interest policy? *If "No," go to line 13*	**12a**	Yes	
b	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	**12b**	Yes	
c	Did the organization regularly and consistently monitor and enforce compliance with the policy? *If "Yes," describe on Schedule O how this was done*	**12c**	Yes	
13	Did the organization have a written whistleblower policy?	**13**	Yes	
14	Did the organization have a written document retention and destruction policy?	**14**	Yes	
15	Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?			
a	The organization's CEO, Executive Director, or top management official	**15a**	Yes	
b	Other officers or key employees of the organization	**15b**	Yes	
	If "Yes" to line 15a or 15b, describe the process on Schedule O. See instructions.			
16a	Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?	**16a**		No
b	If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?	**16b**		

Section C. Disclosure

17 List the states with which a copy of this Form 990 is required to be filed ▶ AL, AK, AZ, AR, CA, CO, CT, FL, GA, IL, KS, KY, ME, MD, MA, MI, MN, MS, MO, NH, NJ, NM, NY, NC, ND, OH, OK, OR, PA, RI, SC, TN, UT, VA, WA, WV, WI

18 Section 6104 requires an organization to make its Form 1023 (1024 or 1024-A, if applicable), 990, and 990-T (section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.

☑ Own website ☐ Another's website ☑ Upon request ☐ Other (explain in Schedule O)

19 Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.

20 State the name, address, and telephone number of the person who possesses the organization's books and records:
▶ASPEN INSTITUTEJENNIFER JONES 2300 N STREET NW 700 WASHINGTON, DC 20037 (410) 353-3226

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

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

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

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

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See the instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee or key employee) who received reportable compensation (box 5 of Form W-2, Form 1099-MISC, and/or box 1 of Form 1099-NEC) of more than $100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, or highest compensated employees who received more than $100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than $10,000 of reportable compensation from the organization and any related organizations.

See the instructions for the order in which to list the persons above.

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

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee): Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former	(D) Reportable compensation from the organization (W-2/1099-MISC/1099-NEC)	(E) Reportable compensation from related organizations (W-2/1099-MISC/1099-NEC)	(F) Estimated amount of other compensation from the organization and related organizations
(1) DANIEL PORTERFIELD PRESIDENT & CEO	40.00	X		X				643,984	0	54,772
(2) ELLIOT GERSON EXECUTIVE VP	40.00			X				450,891	0	59,501
(3) NAMITA KHASAT CFO/CAO/TREASURER	40.00			X				408,234	0	56,757
(4) DAVID LANGSTAFF EXEC VICE PRESIDENT	40.00			X				353,857	0	56,959
(5) STEPHEN PATRICK EXECUTIVE DIRECTOR	40.00					X		330,683	0	65,825
(6) JANE WALES VP, EXECUTIVE DIRECTOR	40.00					X		350,780	0	45,542
(7) ANN MOSLE VP, EXECUTIVE DIRECTOR	40.00					X		327,672	0	65,832
(8) VIVIAN SCHILLER EXECUTIVE DIRECTOR	40.00					X		346,379	0	44,924
(9) ERIKA MALLIN EXECUTIVE DIRECTOR	40.00					X		349,830	0	34,697
(10) MARIA ACEBAL VP STRATEGIC DEV CORP SECRETARY	40.00			X				278,458	0	46,876
(11) ERIC MOTLEY EVP, CORP SECRETARY - UNTIL 08/2021	40.00			X				280,415	0	39,197
(12) JAMES SCHINE CROWN CHAIRMAN	1.00	X		X				0	0	0
(13) WILLIAM E MAYER TRUSTEE	1.00	X		X				0	0	0
(14) JEFFREY S ARONIN TRUSTEE	1.00	X						0	0	0
(15) DONNA BARKSDALE TRUSTEE	1.00	X						0	0	0
(16) MERCEDES BASS TRUSTEE	1.00	X						0	0	0
(17) MIGUEL MIKE BEZOS TRUSTEE	1.00	X						0	0	0

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

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee): Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former	(D) Reportable compensation from the organization (W-2/1099-MISC/1099-NEC)	(E) Reportable compensation from related organizations (W-2/1099-MISC/1099-NEC)	(F) Estimated amount of other compensation from the organization and related organizations
(18) LAWRENCE BOBO TRUSTEE	1.00	X						0	0	0
(19) RICHARD BRADDOCK TRUSTEE	1.00	X						0	0	0
(20) BETH BROOKE TRUSTEE	1.00	X						0	0	0
(21) WILLIAM BYNUM TRUSTEE	1.00	X						0	0	0
(22) STEPHEN L CARTER TRUSTEE	1.00	X						0	0	0
(23) TROY CARTER TRUSTEE	1.00	X						0	0	0
(24) CESAR R CONDE TRUSTEE	1.00	X						0	0	0
(25) PHYLLIS COULTER TRUSTEE	1.00	X						0	0	0
(26) KATIE COURIC TRUSTEE	1.00	X						0	0	0
(27) ANDREA CUNNINGHAM TRUSTEE	1.00	X						0	0	0
(28) KENNETH L DAVIS MD TRUSTEE	1.00	X						0	0	0
(29) JOHN DOERR TRUSTEE	1.00	X						0	0	0
(30) THELMA DUGGIN TRUSTEE	1.00	X						0	0	0
(31) ARNE DUNCAN TRUSTEE	1.00	X						0	0	0
(32) MICHAEL D EISNER TRUSTEE	1.00	X						0	0	0
(33) L BROOKS ENTWISTLE TRUSTEE	1.00	X						0	0	0
(34) ELIZABETH FLEMING TRUSTEE	1.00	X						0	0	0
(35) ROGER FERGUSON TRUSTEE	1.00	X						0	0	0
(36) ANN B FRIEDMAN TRUSTEE - UNTIL 01/2021	1.00	X						0	0	0
(37) HENRY LOUIS GATES JR TRUSTEE	1.00	X						0	0	0
(38) RUSSELL GOLDSMITH TRUSTEE	1.00	X						0	0	0
(39) ANTONIO GRACIAS TRUSTEE	1.00	X						0	0	0
(40) PATRICK W GROSS TRUSTEE	1.00	X						0	0	0
(41) ARJUN GUPTA TRUSTEE	1.00	X						0	0	0
(42) JANE HARMAN TRUSTEE	1.00	X						0	0	0
(43) KAYA HENDERSON TRUSTEE	1.00	X						0	0	0
(44) MARK HOPLAMAZIAN TRUSTEE	1.00	X						0	0	0
(45) GERALD D HOSIER TRUSTEE	1.00	X						0	0	0
(46) ROBERT HURST TRUSTEE	1.00	X						0	0	0
(47) SONIA KAPADIA TRUSTEE	1.00	X						0	0	0
(48) MICHAEL KLEIN TRUSTEE	1.00	X						0	0	0
(49) KELI LEE TRUSTEE	1.00	X						0	0	0
(50) LAURA LAUDER TRUSTEE	1.00	X						0	0	0
(51) MELONY LEWIS TRUSTEE	1.00	X						0	0	0
(52) JAMES M MANYIKA TRUSTEE	1.00	X						0	0	0
(53) CRAIG MARTIN TRUSTEE	1.00	X						0	0	0
(54) BONNIE PALMER MCCLOSKEY TRUSTEE	1.00	X						0	0	0
(55) DAVID MCCORMICK TRUSTEE - UNTIL 11/2021	1.00	X						0	0	0
(56) ANNE WELSH MCNULTY TRUSTEE	1.00	X						0	0	0
(57) DIANE L MORRIS TRUSTEE	1.00	X						0	0	0
(58) KARLHEINZ MUHR TRUSTEE	1.00	X						0	0	0
(59) CLARE MUNANA TRUSTEE	1.00	X						0	0	0
(60) JERRY MURDOCK TRUSTEE	1.00	X						0	0	0
(61) MARC NATHANSON TRUSTEE	1.00	X						0	0	0
(62) WILLIAM A NITZE TRUSTEE - UNTIL 07/2021	1.00	X						0	0	0
(63) HER MAJESTY QUEEN NOOR TRUSTEE	1.00	X						0	0	0
(64) JACQUELINE NOVOGRATZ TRUSTEE	1.00	X						0	0	0
(65) OLARA A OTUNNU TRUSTEE	1.00	X						0	0	0
(66) ELAINE PAGELS TRUSTEE	1.00	X						0	0	0
(67) CARRIE WALTON PENNER TRUSTEE	1.00	X						0	0	0
(68) CARLA PINEYRO-SUBLETT TRUSTEE	1.00	X						0	0	0
(69) MARGOT L PRITZKER TRUSTEE	1.00	X						0	0	0
(70) WILLIAM RESNICK TRUSTEE	1.00	X						0	0	0
(71) CONDOLEEZZA RICE TRUSTEE - UNTIL 01/2021	1.00	X						0	0	0
(72) RICARDO SALINAS TRUSTEE	1.00	X						0	0	0
(73) LEWIS SANDERS TRUSTEE - UNTIL 11/2021	1.00	X						0	0	0
(74) ANNA DEAVERE SMITH TRUSTEE	1.00	X						0	0	0
(75) ROBERT K STEEL TRUSTEE	1.00	X						0	0	0
(76) LAURIE M TISCH TRUSTEE	1.00	X						0	0	0
(77) CHRISTOPHER VARELAS TRUSTEE	1.00	X						0	0	0
(78) RODERICK K VON LIPSEY TRUSTEE	1.00	X						0	0	0
(79) VIN WEBER TRUSTEE	1.00	X						0	0	0
(80) JESSIE WOOLLEY-WILSON TRUSTEE	1.00	X						0	0	0
1b Sub-Total . . . . ►										
c Total from continuation sheets to Part VII, Section A . . . . ►										
d Total (add lines 1b and 1c) . . . . ►								4,121,183	0	570,882

2 Total number of individuals (including but not limited to those listed above) who received more than $100,000 of reportable compensation from the organization ► 216

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

Section B. Independent Contractors

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

(A) Name and business address	(B) Description of services	(C) Compensation
TENANT IMPROVEMENT SPECIALISTS 713 EAST 23RD STREET CARSON, CA 90745	CONSTRUCTION SERVICES	8,463,267
BRAIN SOURCE INTERNATIONAL 42-44 BISHOPSGATE LONDON EC2N UK	STAFFING AND PAYROLL SERVICES	1,268,182
EPLUS TECHNOLOGY INC 1595 DULLES TECHNOLOGY DRIVE HERNDON, VA 20171	IT SYSTEMS AND SUPPORT	627,215
ROWLAND BROUGHTON ARCHITECTURE AND URBAN 500 WEST MAIN STREET ASPEN, CO 81611	ARCHITECTURAL SERVICES FOR CONSTRUCTION	448,626
SPITFIRE STRATEGIES LLC 2300 N STREET NW WASHINGTON, DC 20037	COMMUNICATIONS CONSULTING & MANAGEMENT	388,351

2 Total number of independent contractors (including but not limited to those listed above) who received more than $100,000 of compensation from the organization ► 24

Part VIII Statement of Revenue

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

		(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512 - 514
Contributions, Gifts, Grants, and Other Similar Amounts					
1a Federated campaigns . . .	1a				
b Membership dues . . .	1b				
c Fundraising events . . .	1c	1,115,907			
d Related organizations	1d				
e Government grants (contributions)	1e	4,500,898			
f All other contributions, gifts, grants, and similar amounts not included above	1f	135,078,797			
g Noncash contributions included in lines 1a - 1f:$	1g	10,448,358			
h **Total.** Add lines 1a-1f . . . . ▶		140,695,602			
Program Service Revenue	Business Code				
2a CONTRACT REVENUE	900099	17,079,149	17,079,149		
b CONF./FACILITY FEES	531390	8,990,917		8,990,917	
c SEMINAR AND EVENT FEES	900099	2,515,732	2,515,732		
d BOOK SALES	900099	1,136	1,136		
e					
f All other program service revenue.					
g **Total.** Add lines 2a–2f. . . . . ▶		28,586,934			
Other Revenue					
3 Investment income (including dividends, interest, and other similar amounts) . . . . . . ▶		907,211		1,611,202	-703,991
4 Income from investment of tax-exempt bond proceeds ▶					
5 Royalties . . . . ▶					

		(i) Real	(ii) Personal
6a Gross rents	6a	132,559	
b Less: rental expenses	6b	125,624	
c Rental income or (loss)	6c	6,935	

	(A)	(B)	(C)	(D)
d Net rental income or (loss) . . . . ▶	6,935			6,935

		(i) Securities	(ii) Other
7a Gross amount from sales of assets other than inventory	7a	307,961,739	291,428
b Less: cost or other basis and sales expenses	7b	307,066,996	270,850
c Gain or (loss)	7c	894,743	20,578

	(A)	(B)	(C)	(D)
d Net gain or (loss) . . . . ▶	915,321			915,321

8a Gross income from fundraising events (not including $ 1,115,907 of contributions reported on line 1c). See Part IV, line 18	8a	28,130
b Less: direct expenses	8b	597,369

	(A)	(B)	(C)	(D)
c Net income or (loss) from fundraising events . . ▶	-569,239			-569,239

9a Gross income from gaming activities. See Part IV, line 19 . . .	9a	
b Less: direct expenses	9b	

	(A)	(B)	(C)	(D)
c Net income or (loss) from gaming activities . . ▶				

10a Gross sales of inventory, less returns and allowances . . .	10a	
b Less: cost of goods sold . .	10b	

	(A)	(B)	(C)	(D)
c Net income or (loss) from sales of inventory . . ▶				

Miscellaneous Revenue	Business Code	(A)	(B)	(C)	(D)
11a OTHER INCOME	900099	364,790			364,790
b SUBLEASE INCOME	900099	303,392			303,392
c ADVERTISING INCOME	541800	35,740		35,740	
d All other revenue					
e **Total.** Add lines 11a–11d . . . . ▶		703,922			
12 **Total revenue.** See instructions . . . . . . ▶		171,246,686	19,596,017	10,637,859	317,208

Part IX **Statement of Functional Expenses**

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

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

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21	13,662,257	13,662,257		
2 Grants and other assistance to domestic individuals. See Part IV, line 22	778,444	778,444		
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16.	4,417,304	4,417,304		
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	2,729,901	433,833	2,136,261	159,807
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7 Other salaries and wages	53,239,622	40,190,913	10,868,319	2,180,390
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	4,276,778	3,639,578	423,731	213,469
9 Other employee benefits	4,618,403	3,393,844	923,765	300,794
10 Payroll taxes	5,060,529	4,739,572	161,786	159,171
11 Fees for services (non-employees):				
a Management	10,291,120	10,291,120		
b Legal	453,729	299,356	154,373	
c Accounting	142,947		142,947	
d Lobbying				
e Professional fundraising services. See Part IV, line 17				
f Investment management fees	1,200,594		1,200,594	
g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O)	22,337,210	17,922,591	4,272,396	142,223
12 Advertising and promotion				
13 Office expenses	3,032,028	2,248,163	728,062	55,803
14 Information technology	983,787	711,872	251,278	20,637
15 Royalties				
16 Occupancy	5,920,843	3,586,777	2,157,519	176,547
17 Travel	3,742,433	3,399,639	326,928	15,866
18 Payments of travel or entertainment expenses for any federal, state, or local public officials	167,410	167,410		
19 Conferences, conventions, and meetings				
20 Interest	62,783	62,783		
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	3,280,847		3,280,847	
23 Insurance	424,469	438	424,031	
24 Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a PARTNER REIMBURSEMENTS	1,205,584	1,205,584		
b PUBLICATIONS	964,579	912,011	45,387	7,181
c REPAIRS AND MAINTENANCE	398,141	145,353	252,788	
d BAD DEBT	382,023	203,869		178,154
e All other expenses				
25 **Total functional expenses.** Add lines 1 through 24e	143,773,765	112,412,711	27,751,012	3,610,042
26 **Joint costs.** Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here ▶ ☐ if following SOP 98-2 (ASC 958-720).				

Part X Balance Sheet

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

				(A) Beginning of year		(B) End of year
Assets	1	Cash–non-interest-bearing		7,143,777	1	15,569,294
	2	Savings and temporary cash investments		26,098,145	2	20,005,043
	3	Pledges and grants receivable, net		40,677,134	3	49,885,211
	4	Accounts receivable, net		25,416,890	4	6,960,249
	5	Loans and other receivables from any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons			5	
	6	Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B) . . .			6	
	7	Notes and loans receivable, net			7	
	8	Inventories for sale or use		138,867	8	283,265
	9	Prepaid expenses and deferred charges		1,662,165	9	2,147,646
	10a	Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a 135,038,341			
	b	Less: accumulated depreciation	10b 58,459,221	69,191,910	10c	76,579,120
	11	Investments—publicly traded securities .		32,770,950	11	75,643,810
	12	Investments—other securities. See Part IV, line 11		188,820,548	12	215,765,025
	13	Investments—program-related. See Part IV, line 11 . .			13	
	14	Intangible assets			14	
	15	Other assets. See Part IV, line 11		2,305,746	15	2,676,270
	16	**Total assets.** Add lines 1 through 15 (must equal line 33)		394,226,132	16	465,514,933
Liabilities	17	Accounts payable and accrued expenses		11,901,598	17	13,594,228
	18	Grants payable . . .		2,359,126	18	1,916,128
	19	Deferred revenue		6,737,446	19	12,033,695
	20	Tax-exempt bond liabilities			20	
	21	Escrow or custodial account liability. Complete Part IV of Schedule D			21	
	22	Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons			22	
	23	Secured mortgages and notes payable to unrelated third parties . .			23	3,780,000
	24	Unsecured notes and loans payable to unrelated third parties . .			24	
	25	Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17 - 24). Complete Part X of Schedule D		20,997,410	25	21,757,447
	26	**Total liabilities.** Add lines 17 through 25 . .		41,995,580	26	53,081,498
Net Assets or Fund Balances		**Organizations that follow FASB ASC 958, check here ▶ ☑ and complete lines 27, 28, 32, and 33.**				
	27	Net assets without donor restrictions		136,758,015	27	157,173,863
	28	Net assets with donor restrictions		215,472,537	28	255,259,572
		Organizations that do not follow FASB ASC 958, check here ▶ ☐ and complete lines 29 through 33.				
	29	Capital stock or trust principal, or current funds			29	
	30	Paid-in or capital surplus, or land, building or equipment fund . . .			30	
	31	Retained earnings, endowment, accumulated income, or other funds			31	
	32	Total net assets or fund balances		352,230,552	32	412,433,435
	33	Total liabilities and net assets/fund balances		394,226,132	33	465,514,933

Part XI Reconcilliation of Net Assets

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

1	Total revenue (must equal Part VIII, column (A), line 12)	1	171,246,686
2	Total expenses (must equal Part IX, column (A), line 25)	2	143,773,765
3	Revenue less expenses. Subtract line 2 from line 1	3	27,472,921
4	Net assets or fund balances at beginning of year (must equal Part X, line 32, column (A))	4	352,230,552
5	Net unrealized gains (losses) on investments	5	32,537,736
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	-3,000
9	Other changes in net assets or fund balances (explain in Schedule O)	9	195,226
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, column	10	412,433,435

Part XII Financial Statements and Reporting

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

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

Additional Data

Return to Form

Software ID:

Software Version:

Form 990, Special Condition Description:

Special Condition Description

SCHEDULE A
(Form 990)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.
▶ Attach to Form 990 or Form 990-EZ.
▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047
2021
Open to Public Inspection

Name of the organization
THE ASPEN INSTITUTE INC

Employer identification number
84-0399006

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

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

1 ☐ A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**

2 ☐ A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990).)

3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**

4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state:

5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)

6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**

7 ☑ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)

8 ☐ A community trust described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)

9 ☐ An agricultural research organization described in **170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land grant college of agriculture. See instructions. Enter the name, city, and state of the college or university:

10 ☐ An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)

11 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**

12 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2).** See **section 509(a)(3).** Check the box on lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.

a ☐ **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**

b ☐ **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**

c ☐ **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**

d ☐ **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**

e ☐ Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.

f Enter the number of supported organizations . . . .

g Provide the following information about the supported organization(s).

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

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

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2017	(b) 2018	(c) 2019	(d) 2020	(e) 2021	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grant.") . .	92,261,254	94,760,517	108,438,960	131,254,703	140,723,732	567,439,166
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge. .						
4 **Total.** Add lines 1 through 3	92,261,254	94,760,517	108,438,960	131,254,703	140,723,732	567,439,166
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) . .						62,570,247
6 **Public support.** Subtract line 5 from line 4.						504,868,919

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2017	(b) 2018	(c) 2019	(d) 2020	(e) 2021	(f) Total
7 Amounts from line 4. .	92,261,254	94,760,517	108,438,960	131,254,703	140,723,732	567,439,166
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . .	759,709	-390,616	-59,007	535,540	1,343,162	2,188,788
9 Net income from unrelated business activities, whether or not the business is regularly carried on. .						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.). .	434,052	443,054	799,478	156,060	394,530	2,227,174
11 **Total support.** Add lines 7 through 10						571,855,128

12 Gross receipts from related activities, etc. (see instructions) . . . . | 12 | 128,972,580

13 **First 5 years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** . . . . ▶ ☐

Section C. Computation of Public Support Percentage

14 Public support percentage for 2021 (line 6, column (f) divided by line 11, column (f)) . . . . | 14 | 88.290 %

15 Public support percentage for 2020 Schedule A, Part II, line 14 . . . . | 15 | 91.050 %

16a **33 1/3% support test—2021.** If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . ▶ ☑

b **33 1/3% support test—2020.** If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . ▶ ☐

17a **10%-facts-and-circumstances test—2021.** If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . ▶ ☐

b **10%-facts-and-circumstances test—2020.** If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . ▶ ☐

18 **Private foundation.** If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions . . . . ▶ ☐

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

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2017	(b) 2018	(c) 2019	(d) 2020	(e) 2021	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . .						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 **Total.** Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of $5,000 or 1% of the amount on line 13 for the year.						
c Add lines 7a and 7b. .						
8 **Public support.** (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2017	(b) 2018	(c) 2019	(d) 2020	(e) 2021	(f) Total
9 Amounts from line 6. . .						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . .						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975.						
c Add lines 10a and 10b.						
11 Net income from unrelated business activities not included on line 10b, whether or not the business is regularly carried on.						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . .						
13 **Total support.** (Add lines 9, 10c, 11, and 12.). .						

14 **First 5 years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here**. . . . . ▶☐

Section C. Computation of Public Support Percentage

15 Public support percentage for 2021 (line 8, column (f) divided by line 13, column (f))	15	
16 Public support percentage from 2020 Schedule A, Part III, line 15	16	

Section D. Computation of Investment Income Percentage

17 Investment income percentage for **2021** (line 10c, column (f) divided by line 13, column (f))	17	
18 Investment income percentage from **2020** Schedule A, Part III, line 17	18	

19a **33 1/3% support tests—2021.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . ▶☐

b **33 1/3% support tests—2020.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . ▶☐

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

Part IV Supporting Organizations

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

Section A. All Supporting Organizations

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

Part IV Supporting Organizations (continued)

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

Section B. Type I Supporting Organizations

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

Section C. Type II Supporting Organizations

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

Section D. All Type III Supporting Organizations

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

Section E. Type III Functionally-Integrated Supporting Organizations

1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year **(see instructions)**:

- **a** ☐ The organization satisfied the Activities Test. Complete **line 2** below.
- **b** ☐ The organization is the parent of each of its supported organizations. Complete **line 3** below.
- **c** ☐ The organization supported a governmental entity. Describe in **Part VI** how you supported a government entity (see instructions)

2 Activities Test. **Answer lines 2a and 2b below.**

			Yes	No
a	Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? *If "Yes," then in* ***Part VI identify those supported organizations and explain*** *how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.*	**2a**		
b	Did the activities described on line 2a, above constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? *If "Yes," explain in* ***Part VI*** *the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.*	**2b**		

3 Parent of Supported Organizations. **Answer lines 3a and 3b below.**

			Yes	No
a	Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations?*If "Yes" or "No", provide details in* ***Part VI.***	**3a**		
b	Did the organization exercise a substantial degree of direction over the policies, programs and activities of each of its supported organizations? *If "Yes," describe in* ***Part VI.*** *the role played by the organization in this regard.*	**3b**		

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

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

	Section A - Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1	Net short-term capital gain	1		
2	Recoveries of prior-year distributions	2		
3	Other gross income (see instructions)	3		
4	Add lines 1 through 3	4		
5	Depreciation and depletion	5		
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6		
7	Other expenses (see instructions)	7		
8	**Adjusted Net Income** (subtract lines 5, 6 and 7 from line 4)	8		

	Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):	1		
a	Average monthly value of securities	1a		
b	Average monthly cash balances	1b		
c	Fair market value of other non-exempt-use assets	1c		
d	**Total** (add lines 1a, 1b, and 1c)	1d		
e	**Discount** claimed for blockage or other factors (*explain in detail in* ***Part VI***):			
2	Acquisition indebtedness applicable to non-exempt use assets	2		
3	Subtract line 2 from line 1d	3		
4	Cash deemed held for exempt use. Enter 0.015 of line 3 (for greater amount, see instructions).	4		
5	Net value of non-exempt-use assets (subtract line 4 from line 3)	5		
6	Multiply line 5 by 0.035	6		
7	Recoveries of prior-year distributions	7		
8	**Minimum Asset Amount** (add line 7 to line 6)	8		

	Section C - Distributable Amount			Current Year
1	Adjusted net income for prior year (from Section A, line 8, Column A)	1		
2	Enter 85% of line 1	2		
3	Minimum asset amount for prior year (from Section B, line 8, Column A)	3		
4	Enter greater of line 2 or line 3	4		
5	Income tax imposed in prior year	5		
6	**Distributable Amount.** Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions)	6		

7 ☐ Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions)

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

Section D - Distributions		Current Year
1 Amounts paid to supported organizations to accomplish exempt purposes	1	
2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	2	
3 Administrative expenses paid to accomplish exempt purposes of supported organizations	3	
4 Amounts paid to acquire exempt-use assets	4	
5 Qualified set-aside amounts (*prior IRS approval required - provide details in* ***Part VI***)	5	
6 Other distributions (*describe in* ***Part VI***). See instructions	6	
7 **Total annual distributions.** Add lines 1 through 6.	7	
8 Distributions to attentive supported organizations to which the organization is responsive (*provide details in* ***Part VI***). See instructions	8	
9 Distributable amount for 2021 from Section C, line 6	9	
10 Line 8 amount divided by Line 9 amount	10	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2021	(iii) Distributable Amount for 2021
1 Distributable amount for 2021 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2021 (reasonable cause required-- *explain in* ***Part VI***). See instructions.			
3 Excess distributions carryover, if any, to 2021:			
a From 2016.			
b From 2017.			
c From 2018.			
d From 2019.			
e From 2020.			
f **Total** of lines 3a through e			
g Applied to underdistributions of prior years			
h Applied to 2021 distributable amount			
i Carryover from 2016 not applied (see instructions)			
j Remainder. Subtract lines 3g, 3h, and 3i from line 3f.			
4 Distributions for 2021 from Section D, line 7: $			
a Applied to underdistributions of prior years			
b Applied to 2021 distributable amount			
c Remainder. Subtract lines 4a and 4b from line 4.			
5 Remaining underdistributions for years prior to 2021, if any. Subtract lines 3g and 4a from line 2. If the amount is greater than zero, *explain in* ***Part VI***. See instructions.			
6 Remaining underdistributions for 2021. Subtract lines 3h and 4b from line 1. If the amount is greater than zero, *explain in* ***Part VI***. See instructions.			
7 **Excess distributions carryover to 2022.** Add lines 3j and 4c.			
8 Breakdown of line 7:			
a Excess from 2017.			
b Excess from 2018.			
c Excess from 2019.			
d Excess from 2020.			
e Excess from 2021.			

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

Facts And Circumstances Test

Return Reference	Explanation
SCHEDULE A, PART II, LINE 10, EXPLANATION OF OTHER INCOME:	OTHER INCOME - 2017 AMOUNT: $ 434,052. 2018 AMOUNT: $ 443,054. 2019 AMOUNT: $ 799,478. 2020 AMOUNT: $ 156,060. 2021 AMOUNT: $ 394,530.

Additional Data

Return to Form

Software ID:

Software Version:

SCHEDULE C (Form 990)

Department of the Treasury
Internal Revenue Service

Political Campaign and Lobbying Activities

For Organizations Exempt From Income Tax Under section 501(c) and section 527

▶Complete if the organization is described below. ▶Attach to Form 990 or Form 990-EZ.
▶Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2021

Open to Public Inspection

If the organization answered "Yes" on Form 990, Part IV, Line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then

- Section 501(c)(3) organizations: Complete Parts I-A and B. Do not complete Part I-C.
- Section 501(c) (other than section 501(c)(3)) organizations: Complete Parts I-A and C below. Do not complete Part I-B.
- Section 527 organizations: Complete Part I-A only.

If the organization answered "Yes" on Form 990, Part IV, Line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)): Complete Part II-A. Do not complete Part II-B.
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)): Complete Part II-B. Do not complete Part II-A.

If the organization answered "Yes" on Form 990, Part IV, Line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then

- Section 501(c)(4), (5), or (6) organizations: Complete Part III.

Name of the organization
THE ASPEN INSTITUTE INC

Employer identification number
84-0399006

Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.

1 Provide a description of the organization's direct and indirect political campaign activities in Part IV. See instructions for definition of "political campaign activities."

2 Political campaign activity expenditures. See instructions ▶ $

3 Volunteer hours for political campaign activities. See instructions

Part I-B Complete if the organization is exempt under section 501(c)(3).

1 Enter the amount of any excise tax incurred by the organization under section 4955 ▶ $

2 Enter the amount of any excise tax incurred by organization managers under section 4955 ▶ $

3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? ☐ Yes ☐ No

4a Was a correction made? ☐ Yes ☐ No

b If "Yes," describe in Part IV.

Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).

1 Enter the amount directly expended by the filing organization for section 527 exempt function activities ▶ $

2 Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities ▶ $

3 Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL, line 17b ▶ $

4 Did the filing organization file **Form 1120-POL** for this year? ☐ Yes ☐ No

5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments. For each organization listed, enter the amount paid from the filing organization's funds. Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC). If additional space is needed, provide information in Part IV.

	(a) Name	**(b)** Address	**(c)** EIN	**(d)** Amount paid from filing organization's funds. If none, enter -0-.	**(e)** Amount of political contributions received and promptly and directly delivered to a separate political organization. If none, enter -0-.
1					
2					
3					
4					
5					
6					

Part II-A **Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).**

A Check ▶ ☐ if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures).

B Check ▶ ☐ if the filing organization checked box A and "limited control" provisions apply.

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)	**(a)** Filing organization's totals	**(b)** Affiliated group totals
1a Total lobbying expenditures to influence public opinion (grass roots lobbying)		
b Total lobbying expenditures to influence a legislative body (direct lobbying)		
c Total lobbying expenditures (add lines 1a and 1b)		
d Other exempt purpose expenditures		
e Total exempt purpose expenditures (add lines 1c and 1d)		
f Lobbying nontaxable amount. Enter the amount from the following table in both columns.		

If the amount on line 1e, column (a) or (b) is:	**The lobbying nontaxable amount is:**
Not over $500,000	20% of the amount on line 1e.
Over $500,000 but not over $1,000,000	$100,000 plus 15% of the excess over $500,000.
Over $1,000,000 but not over $1,500,000	$175,000 plus 10% of the excess over $1,000,000.
Over $1,500,000 but not over $17,000,000	$225,000 plus 5% of the excess over $1,500,000.
Over $17,000,000	$1,000,000.

	(a)	(b)
g Grassroots nontaxable amount (enter 25% of line 1f)		
h Subtract line 1g from line 1a. If zero or less, enter -0-.		
i Subtract line 1f from line 1c. If zero or less, enter -0-.		

j If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year? ☐ **Yes** ☐ **No**

4-Year Averaging Period Under Section 501(h)
(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the separate instructions for lines 2a through 2f.)

Lobbying Expenditures During 4-Year Averaging Period

Calendar year (or fiscal year beginning in)	**(a)** 2018	**(b)** 2019	**(c)** 2020	**(d)** 2021	**(e)** Total
2a Lobbying nontaxable amount					
b Lobbying ceiling amount (150% of line 2a, column(e))					
c Total lobbying expenditures					
d Grassroots nontaxable amount					
e Grassroots ceiling amount (150% of line 2d, column (e))					
f Grassroots lobbying expenditures					

Part II-B Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).

For each "Yes" response on lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.

		(a) Yes	(a) No	(b) Amount
1	During the year, did the filing organization attempt to influence foreign, national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of:			
a	Volunteers?		No	
b	Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?	Yes		
c	Media advertisements?		No	
d	Mailings to members, legislators, or the public?		No	
e	Publications, or published or broadcast statements?		No	
f	Grants to other organizations for lobbying purposes?		No	
g	Direct contact with legislators, their staffs, government officials, or a legislative body?	Yes		1,285
h	Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?		No	
i	Other activities?		No	
j	Total. Add lines 1c through 1i			1,285
2a	Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?		No	
b	If "Yes," enter the amount of any tax incurred under section 4912			
c	If "Yes," enter the amount of any tax incurred by organization managers under section 4912			
d	If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?			

Part III-A Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).

			Yes	No
1	Were substantially all (90% or more) dues received nondeductible by members?	1		
2	Did the organization make only in-house lobbying expenditures of $2,000 or less?	2		
3	Did the organization agree to carry over lobbying and political expenditures from the prior year?	3		

Part III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered "No" OR (b) Part III-A, line 3, is answered "Yes."

1	Dues, assessments and similar amounts from members	1	
2	Section 162(e) nondeductible lobbying and political expenditures **(do not include amounts of political expenses for which the section 527(f) tax was paid).**		
a	Current year	2a	
b	Carryover from last year	2b	
c	Total	2c	
3	Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues	3	
4	If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year?	4	
5	Taxable amount of lobbying and political expenditures. See Instructions	5	

Part IV Supplemental Information

Provide the descriptions required for Part I-A, line 1; Part I-B, line 4; Part I-C, line 5; Part II-A (affiliated group list); Part II-A, lines 1 and 2 (see instructions), and Part II-B, line 1. Also, complete this part for any additional information.

Return Reference	Explanation
PART II-B, LINE 1:	ALLOCATED SALARY EXPENSE FROM COMMUNICATION WITH LEGISLATORS REGARDING PENDING LEGISLATION.

Additional Data

Return to Form

Software ID:

Software Version:

SCHEDULE D (Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

▶ Complete if the organization answered "Yes," on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.
▶ Attach to Form 990.
▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2021

Open to Public Inspection

Name of the organization
THE ASPEN INSTITUTE INC

Employer identification number
84-0399006

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.
Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

		(a) Donor advised funds	(b) Funds and other accounts
1	Total number at end of year		
2	Aggregate value of contributions to (during year)		
3	Aggregate value of grants from (during year)		
4	Aggregate value at end of year		

5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? . . . . ☐ Yes ☐ No

6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? . . . . ☐ Yes ☐ No

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

1 Purpose(s) of conservation easements held by the organization (check all that apply).

☐ Preservation of land for public use (e.g., recreation or education) ☐ Preservation of an historically important land area
☑ Protection of natural habitat ☐ Preservation of a certified historic structure
☐ Preservation of open space

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

			Held at the End of the Year
a	Total number of conservation easements	2a	2
b	Total acreage restricted by conservation easements	2b	263.88
c	Number of conservation easements on a certified historic structure included in (a)	2c	
d	Number of conservation easements included in (c) acquired after 7/25/06, and not on a historic structure listed in the National Register . . .	2d	

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶

4 Number of states where property subject to conservation easement is located ▶ 2

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? . . . . ☑ Yes ☐ No

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year
▶

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year
▶ $

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? . . . . ☐ Yes ☐ No

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.
Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under FASB ASC 958, not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under FASB ASC 958, to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included on Form 990, Part VIII, line 1 . . . . ▶ $

(ii) Assets included in Form 990, Part X . . . . ▶ $ 1,096,267

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under FASB ASC 958 relating to these items:

a Revenue included on Form 990, Part VIII, line 1 . . . . ▶ $

b Assets included in Form 990, Part X . . . . ▶ $

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

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

a ☑ Public exhibition

b ☐ Scholarly research

c ☐ Preservation for future generations

d ☐ Loan or exchange programs

e ☐ Other

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

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

Part IV Escrow and Custodial Arrangements.

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

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

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

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

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

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

Part V Endowment Funds.

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

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance	140,520,233	126,362,776	115,098,677	119,077,203	99,879,276
b Contributions	17,309,092	10,938,289	1,418,728	3,995,266	12,665,941
c Net investment earnings, gains, and losses	30,072,140	10,092,783	15,369,499	-4,694,709	10,999,814
d Grants or scholarships					
e Other expenditures for facilities and programs	9,195,723	6,873,615	5,524,128	3,279,083	4,467,828
f Administrative expenses					
g End of year balance	178,705,742	140,520,233	126,362,776	115,098,677	119,077,203

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

a Board designated or quasi-endowment ▶ 36.314 %

b Permanent endowment ▶ 24.674 %

c Term endowment ▶ 39.012 %

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

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

		Yes	No
(i) Unrelated organizations	3a(i)		No
(ii) Related organizations	3a(ii)		No
b If "Yes" on 3a(ii), are the related organizations listed as required on Schedule R?	3b		

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

Part VI Land, Buildings, and Equipment.

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

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land		10,411,093		10,411,093
b Buildings		78,504,315	42,288,447	36,215,868
c Leasehold improvements		9,927,593	2,859,797	7,067,796
d Equipment		6,661,797	6,252,748	409,049
e Other		29,533,543	7,058,229	22,475,314

Total. Add lines 1a through 1e. *(Column (d) must equal Form 990, Part X, column (B), line 10(c).)* ▶ 76,579,120

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

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests		
(3) Other		
(A) INVESTMENT CONTRACT	1,227,786	F
(B) LIMITED PARTNERSHIPS	214,537,239	F
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
Total. *(Column (b) must equal Form 990, Part X, col. (B) line 12.)* ▶	215,765,025	

Part VIII Investments - Program Related.
Complete if the organization answered 'Yes' on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

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

Part IX Other Assets.
Complete if the organization answered 'Yes' on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

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

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

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. *(Column (b) must equal Form 990, Part X, col.(B) line 25.)* ▶	21,757,447

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII ☑

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.
Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements			1	203,443,337
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:				
a	Net unrealized gains (losses) on investments	2a	32,537,736		
b	Donated services and use of facilities	2b	136,516		
c	Recoveries of prior year grants	2c			
d	Other (Describe in Part XIII.)	2d			
e	Add lines **2a** through **2d**			2e	32,674,252
3	Subtract line **2e** from line **1**			3	170,769,085
4	Amounts included on Form 990, Part VIII, line 12, but not on line **1**:				
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	1,200,594		
b	Other (Describe in Part XIII.)	4b	-722,993		
c	Add lines **4a** and **4b**			4c	477,601
5	Total revenue. Add lines **3** and **4c.** (This must equal Form 990, Part I, line 12.)			5	171,246,686

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.
Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements			1	143,237,454
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:				
a	Donated services and use of facilities	2a	136,516		
b	Prior year adjustments	2b			
c	Other losses	2c			
d	Other (Describe in Part XIII.)	2d	527,767		
e	Add lines **2a** through **2d**			2e	664,283
3	Subtract line **2e** from line **1**			3	142,573,171
4	Amounts included on Form 990, Part IX, line 25, but not on line **1:**				
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	1,200,594		
b	Other (Describe in Part XIII.)	4b			
c	Add lines **4a** and **4b**			4c	1,200,594
5	Total expenses. Add lines **3** and **4c.** (This must equal Form 990, Part I, line 18.)			5	143,773,765

Part XIII Supplemental Information

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

Return Reference	Explanation
PART II, LINE 5:	THE INSTITUTE CONTINUES TO COMPLY WITH TERMS OF CONTRACT GOVERNING THE CONSERVATION EASEMENT HELD, WHICH INCLUDES PROTECTION OF NATURAL HABITAT.
PART II, LINE 9:	THE INSTITUTE HOLDS A CONSERVATION EASEMENT ON THE BALANCE SHEET AND THE CONTRIBUTED PARCEL OF LAND WAS BOOKED AS REVENUE FOR THE YEAR IT WAS GIFTED.
PART III, LINE 4:	AT OUR ASPEN MEADOWS CAMPUS, ASPEN, COLORADO, WE HAVE A LARGE COLLECTION OF ART THAT IS ON DISPLAY BOTH IN GALLERIES AND PUBLIC SPACES. IT IS ENJOYED BY GUESTS WHO VISIT AND STAY AT OUR RESORT. THIS ART COLLECTION IS MADE UP OF PHOTOS FROM FRANZ BERKO, OFFICIAL PHOTOGRAPHER FOR THE INSTITUTE, AS WELL AS ART IN VARIOUS MEDIUMS BY HERBERT BAYER. BAYER WAS THE ARCHITECT FOR OUR CAMPUS, AND ALSO DESIGNED SEVERAL OF THE LAND FORMS THROUGHOUT OUR PROPERTY. ONE GALLERY ON PROPERTY IS DEDICATED SOLELY TO THE WORK OF BAYER. ALTHOUGH THE ARTWORK IS HELD ON THE BOOKS AT COST, IT HAS AN INSURED FAIR VALUE OF $3.1 MILLION.
PART V, LINE 4:	5% OF A 12 QUARTER ROLLING AVERAGE OF THE FUNDS ARE USED TO FUND PROGRAMMATIC WORK OF THE INSTITUTE.
PART X, LINE 2:	MANAGEMENT OF THE INSTITUTE BELIEVES THAT IT HAS NO MATERIAL UNCERTAINTY IN INCOME TAXES AND, ACCORDINGLY, IT WILL NOT RECOGNIZE ANY LIABILITY FOR UNRECOGNIZED TAXES IN ITS FINANCIAL STATEMENTS.
PART XI, LINE 4B - OTHER ADJUSTMENTS:	SPECIAL EVENT EXPENSES -597,369. RENTAL EXPENSES -125,624.
PART XII, LINE 2D - OTHER ADJUSTMENTS:	SPECIAL EVENT EXPENSES 597,369. RENTAL EXPENSES 125,624. REFUNDED GRANTS -195,226.

Additional Data

Return to Form

Software ID:

Software Version:

SCHEDULE F (Form 990)

Department of the Treasury
Internal Revenue Service

Statement of Activities Outside the United States

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

OMB No. 1545-0047

2021

Open to Public Inspection

Name of the organization
THE ASPEN INSTITUTE INC

Employer identification number
84-0399006

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

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

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

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

(a) Region	**(b)** Number of offices in the region	**(c)** Number of employees, agents, and independent contractors in the region	**(d)** Activities conducted in region (by type) (such as, fundraising, program services, investments, grants to recipients located in the region)	**(e)** If activity listed in (d) is a program service, describe specific type of service(s) in the region	**(f)** Total expenditures for and investments in the region
(1) EAST ASIA AND THE PACIFIC	0	0	PROGRAM SERVICES AND GRANTS TO RECIPIENTS LOCATED IN REGION.	GRANTS, MEETINGS AND PROGRAMMATIC ACTIVITIES.	296,065
(2) EUROPE (INCLUDING ICELAND & GREENLAND)	0	0	PROGRAM SERVICES AND GRANTS TO RECIPIENTS LOCATED IN REGION.	GRANTS, MEETINGS AND PROGRAMMATIC ACTIVITIES.	247,442
(3) MIDDLE EAST AND NORTH AFRICA	0	0	PROGRAM SERVICES AND GRANTS TO RECIPIENTS LOCATED IN REGION.	GRANTS, MEETINGS AND PROGRAMMATIC ACTIVITIES.	302,606
(4) NORTH AMERICA	0	0	PROGRAM SERVICES AND GRANTS TO RECIPIENTS LOCATED IN REGION.	GRANTS, MEETINGS AND PROGRAMMATIC ACTIVITIES.	258,997
(5) SOUTH AMERICA	0	0	PROGRAM SERVICES AND GRANTS TO RECIPIENTS LOCATED IN REGION.	GRANTS, MEETINGS AND PROGRAMMATIC ACTIVITIES.	1,036,460
(6) SOUTH ASIA	0	0	PROGRAM SERVICES AND GRANTS TO RECIPIENTS LOCATED IN REGION.	GRANTS, MEETINGS AND PROGRAMMATIC ACTIVITIES.	1,047,116
(7) SUB-SAHARAN AFRICA	0	0	PROGRAM SERVICES AND GRANTS TO RECIPIENTS LOCATED IN REGION.	GRANTS, MEETINGS AND PROGRAMMATIC ACTIVITIES.	1,228,618
(8)					
(9)					
(10)					
(11)					
(12)					
(13)					
(14)					
(15)					
(16)					
(17)					
3a Sub-total	0	0			4,417,304
b Total from continuation sheets to Part I	0	0			0
c Totals (add lines 3a and 3b)	0	0			4,417,304

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

1 **(a)** Name of organization	**(b)** IRS code section and EIN (if applicable)	**(c)** Region	**(d)** Purpose of grant	**(e)** Amount of cash grant	**(f)** Manner of cash disbursement	**(g)** Amount of noncash assistance	**(h)** Description of noncash assistance	**(i)** Method of valuation (book, FMV, appraisal, other)
(1)		SUB-SAHARAN AFRICA	CHAPTER OPERATIONS SUPPORT	365,387	WIRE TRANSFER	0		
(2)		SOUTH AMERICA	SUPPORT GOYN INITIATIVE	353,500	WIRE TRANSFER	0		
(3)		SUB-SAHARAN AFRICA	SUPPORT CHAPTER OPERATIONS IN AFRICA	336,586	WIRE TRANSFER	0		
(4)		SOUTH ASIA	CAPACITY PLANNING WORK, SUPPORT GOYN INITIATIVE	325,000	WIRE TRANSFER	0		
(5)		SOUTH ASIA	CAPACITY PLANNING WORK, SUPPORT GOYN INITIATIVE	325,000	WIRE TRANSFER	0		
(6)		SOUTH AMERICA	CAPACITY PLANNING WORK, SUPPORT GOYN INITIATIVE	325,000	WIRE TRANSFER	0		
(7)		EAST ASIA AND THE PACIFIC	CHAPTER OPERATIONS SUPPORT	275,815	WIRE TRANSFER	0		
(8)		SUB-SAHARAN AFRICA	SUPPORT GOYN INITIATIVE	250,000	WIRE TRANSFER	0		
(9)		EUROPE (INCLUDING ICELAND & GREENLAND)	SUPPORT ACCELERATING WOMEN-LED VENTURES PROJECT	200,000	WIRE TRANSFER	0		
(10)		SOUTH AMERICA	SUPPORT CHAPTER OPERATIONS IN BRAZIL	154,650	WIRE TRANSFER	0		
(11)		NORTH AMERICA	SUPPORT CHAPTER OPERATIONS IN MEXICO	143,967	WIRE TRANSFER	0		
(12)		SOUTH ASIA	CHAPTER OPERATIONS SUPPORT	135,739	WIRE TRANSFER	0		
(13)		MIDDLE EAST AND NORTH AFRICA	STEVENS INITIATIVE CULTURAL EXCHANGE	129,182	WIRE TRANSFER	0		
(14)		SOUTH ASIA	STEVENS INITIATIVE CULTURAL EXCHANGE	107,455	WIRE TRANSFER	0		
(15)		SUB-SAHARAN AFRICA	CAPACITY PLANNING WORK	100,000	WIRE TRANSFER	0		
(16)		NORTH AMERICA	SUPPORT GOYN INITIATIVE	100,000	WIRE TRANSFER	0		
(17)		SOUTH AMERICA	SUPPORT OPERATIONS IN COLUMBIA	94,446	WIRE TRANSFER	0		
(18)		SOUTH AMERICA	CHAPTER OPERATIONS SUPPORT	88,602	WIRE TRANSFER	0		
(19)		MIDDLE EAST AND NORTH AFRICA	STEVENS INITIATIVE CULTURAL EXCHANGE	88,354	WIRE TRANSFER	0		
(20)		SOUTH ASIA	CHAPTER OPERATIONS SUPPORT	78,923	WIRE TRANSFER	0		
(21)		SOUTH ASIA	SUPPORT EQUITY AT THE LAST MILE INITIATIVE	75,000	WIRE TRANSFER	0		
(22)		SUB-SAHARAN AFRICA	ANDE CHAPTER SUPPORT GRANT	53,052	WIRE TRANSFER	0		
(23)		MIDDLE EAST AND NORTH AFRICA	STEVENS INITIATIVE CULTURAL EXCHANGE	47,419	WIRE TRANSFER	0		
(24)		SUB-SAHARAN AFRICA	CHAPTER OPERATIONS SUPPORT	42,997	WIRE TRANSFER	0		
(25)		EUROPE (INCLUDING ICELAND & GREENLAND)	SUPPORT PARTNERSHIPS FOR INCLUSIVE AND SUSTAINABLE	42,692	WIRE TRANSFER	0		

1 (a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of noncash assistance	(h) Description of noncash assistance	(i) Method of valuation (book, FMV, appraisal, other)
			SMALL AND GROWING BUSINESSES INITIATIVE					
(26)		MIDDLE EAST AND NORTH AFRICA	STEVENS INITIATIVE CULTURAL EXCHANGE	36,088	WIRE TRANSFER	0		
(27)		SUB-SAHARAN AFRICA	AGORA PARTICIPATION AWARD	24,000	WIRE TRANSFER	0		
(28)		SUB-SAHARAN AFRICA	SUPPORT ACCELERATING WOMEN-LED VENTURES PROJECT	21,595	WIRE TRANSFER	0		
(29)		SOUTH AMERICA	SUPPORT ACCELERATING WOMEN-LED VENTURES PROJECT	20,262	WIRE TRANSFER	0		
(30)		SUB-SAHARAN AFRICA	GLOBAL INCLUSIVE GROWTH SPARK GRANT	20,000	WIRE TRANSFER	0		
(31)		NORTH AMERICA	MCNULTY PRIZE AWARD	15,030	WIRE TRANSFER	0		
(32)		SUB-SAHARAN AFRICA	MCNULTY GLOBAL RESPONSE FUND AWARD	15,000	WIRE TRANSFER	0		

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter . . . . ▶ 7

3 Enter total number of other organizations or entities . . . . ▶ 25

Part III **Grants and Other Assistance to Individuals Outside the United States.** Complete if the organization answered "Yes" on Form 990, Part IV, line 16. Part III can be duplicated if additional space is needed.

	(a) Type of grant or assistance	(b) Region	(c) Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of noncash assistance	(g) Description of noncash assistance	(h) Method of valuation (book, FMV, appraisal, other)
(1)	HONORARIUM	EAST ASIA AND THE PACIFIC	2	18,000	WIRE TRANSFER			
(2)	EVENT PARTICIPATION STIPEND	EAST ASIA AND THE PACIFIC	1	2,250	WIRE TRANSFER			
(3)	HONORARIUM	EUROPE (INCLUDING ICELAND AND GREENLAND)	3	1,000	WIRE TRANSFER			
(4)	HONORARIUM	MIDDLE EAST AND NORTH AFRICA	3	1,563	WIRE TRANSFER			
(5)								
(6)								
(7)								
(8)								
(9)								
(10)								
(11)								
(12)								
(13)								
(14)								
(15)								
(16)								
(17)								
(18)								

Part IV Foreign Forms

1 Was the organization a U.S. transferor of property to a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 926, Return by a U.S. Transferor of Property to a Foreign Corporation (see Instructions for Form 926)* . . . . ☑ Yes ☐ No

2 Did the organization have an interest in a foreign trust during the tax year? *If "Yes," the organization may be required to separately file Form 3520, Annual Return to Report Transactions with Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U.S. Owner (see Instructions for Forms 3520 and 3520-A; don't file with Form 990)* . . . . ☐ Yes ☑ No

3 Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons with Respect to Certain Foreign Corporations. (see Instructions for Form 5471)* . . . . ☐ Yes ☑ No

4 Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Information Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund. (see Instructions for Form 8621)* . ☐ Yes ☑ No

5 Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons with Respect to Certain Foreign Partnerships (see Instructions for Form 8865)* . . . . ☐ Yes ☑ No

6 Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to separately file Form 5713, International Boycott Report (see Instructions for Form 5713; don't file with Form 990).* . . . . ☐ Yes ☑ No

Part V **Supplemental Information**

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

ReturnReference	Explanation
PART I, LINE 2:	THE INSTITUTE PERIODICALLY ENGAGES OTHER ENTITIES TO FURTHER THE OBJECTIVES SET FORTH IN OUR GRANT AGREEMENTS. THIS IS TYPICALLY DONE VIA SUB-AWARDS OR RE-GRANTS THAT RUN CONCURRENTLY WITH THE PRIME AWARD IN WHICH THE SUB RECIPIENTS ARE ADVISED OF ALL APPLICABLE LAWS AND REGULATIONS, AND ALL APPROPRIATE FLOW-DOWN PROVISIONS FROM THE PRIME AGREEMENT. ALL SUB GRANTEES OR SERVICE PROVIDERS MUST ALSO CERTIFY THAT THEY DO NOT AND WILL NOT KNOWINGLY PROVIDE MATERIAL SUPPORT OR RESOURCES TO ANY INDIVIDUAL OR ENTITY INVOLVED WITH TERRORISM (INCLUDING ANY INDIVIDUALS, ENTITIES, OR GROUPS SUBJECT TO OFAC SANCTIONS) OR TO ANYONE WHO ACTS AS AN AGENT FOR SUCH AN INDIVIDUAL OR ENTITY. ANY VIOLATION OF THIS CERTIFICATION MUST BE GROUNDS FOR IMMEDIATE TERMINATION OF THE LETTER OF AGREEMENT AND RETURN OF ALL GRANT FUNDS. THE FREQUENCY AND SCOPE OF THE RESEARCH PROGRAM'S MONITORING PROCEDURES ARE DETERMINED JOINTLY BY THE RESPONSIBLE PROGRAM MANAGER AND RESPECTIVE GRANT ADMINISTRATOR/FINANCIAL ANALYST. THIS INCLUDES THE ROUTINE RECEIPT AND REVIEW OF THE NARRATIVE AND FINANCIAL REPORTS, A REVIEW OF EXPENSES TO BUDGET, THE OPTION TO PERFORM AUDITS, AND ALLOWS FOR THE PERFORMANCE OF SITE VISITS IF NECESSARY. THE INSTITUTE IS NOTIFIED WHENEVER PROBLEMS, DELAYS OR OTHER CONDITIONS DEVELOP WHICH WOULD HAVE SIGNIFICANT IMPACT UPON THE PROJECT. BUDGET REVISIONS ARE ALLOWED WITHIN THE PARAMETERS SET FORTH IN EACH SUB AWARD. THE PAYMENT SCHEDULE AND THE DEGREE OF FLEXIBILITY OFFERED MAY DEPEND ON PREVIOUS EXPERIENCE WITH THE RECIPIENT, THE DEGREE OF EXTERNAL OVERSIGHT BY OTHER PARTIES, AND THE SOPHISTICATION OF THE RECIPIENT'S ADMINISTRATIVE SYSTEMS. PARTICIPANTS ARE EXPECTED TO COMPLY WITH ALL RELEVANT U.S. LAWS. PRIOR TO ISSUING AWARDS TO FOREIGN ENTITIES, THE PROGRAMS ARE BEING ASKED TO COMPLETE A DUE DILIGENCE CHECKLIST, WHICH INCLUDES ADDITIONAL INFORMATION ABOUT THE SUB RECIPIENT INCLUDING: ANY REASONABLY AVAILABLE HISTORICAL INFORMATION ABOUT THE GRANTEE THAT ASSURES THE INSTITUTE OF THE GRANTEE'S IDENTITY AND INTEGRITY SUCH AS THE JURISDICTION IN WHICH A GRANTEE ORGANIZATION IS INCORPORATED OR FORMED; COPIES OF INCORPORATING OR OTHER GOVERNING INSTRUMENTS; INFORMATION ON THE INDIVIDUALS WHO FORMED AND OPERATE THE ORGANIZATION; AND INFORMATION RELATING TO THE GRANTEE'S OPERATING HISTORY; THE GRANTEE OR SERVICE PROVIDER'S NAME IN ENGLISH, AND THE LANGUAGE OF ORIGIN, AND ANY ACRONYM OR OTHER NAMES USED TO IDENTIFY THE GRANTEE; THE JURISDICTIONS IN WHICH A GRANTEE OR SERVICE PROVIDER MAINTAINS A PHYSICAL PRESENCE; THE GRANTEE OR SERVICE PROVIDER'S POSTAL, EMAIL AND WEBSITE ADDRESSES AND PHONE NUMBERS FOR EACH PLACE OF BUSINESS. THE INSTITUTE ALSO CONDUCTS A REASONABLE SEARCH OF PUBLICLY AVAILABLE INFORMATION TO DETERMINE WHETHER THE GRANTEE OR SERVICE PROVIDER IS SUSPECTED OF ACTIVITY RELATING TO TERRORISM, INCLUDING TERRORIST FINANCING OR OTHER SUPPORT.
PART I, LINE 3:	THE CASH METHOD OF ACCOUNTING WAS USED TO ACCOUNT FOR FOREIGN EXPENDITURES.
PART III, COL (C):	THIS COLUMN REPRESENTS THE ACTUAL NUMBER OF GRANT RECIPIENTS.
PART III ACCOUNTING METHOD:	

Additional Data

Software ID:	
Software Version:	

SCHEDULE G
(Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Information Regarding Fundraising or Gaming Activities

Complete if the organization answered "Yes" on Form 990, Part IV, lines 17, 18, or 19, or if the organization entered more than $15,000 on Form 990-EZ, line 6a.

▶ Attach to Form 990 or Form 990-EZ.

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

OMB No. 1545-0047

2021

Open to Public Inspection

Name of the organization
THE ASPEN INSTITUTE INC

Employer identification number
84-0399006

Part I **Fundraising Activities.** Complete if the organization answered "Yes" on Form 990, Part IV, line 17. Form 990-EZ filers are not required to complete this part.

1 Indicate whether the organization raised funds through any of the following activities. Check all that apply.

a ☐ Mail solicitations
b ☐ Internet and email solicitations
c ☐ Phone solicitations
d ☐ In-person solicitations
e ☐ Solicitation of non-government grants
f ☐ Solicitation of government grants
g ☐ Special fundraising events

2a Did the organization have a written or oral agreement with any individual (including officers, directors, trustees or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising services? ☐ **Yes** ☐ **No**

b If "Yes," list the 10 highest paid individuals or entities (fundraisers) pursuant to agreements under which the fundraiser is to be compensated at least $5,000 by the organization.

(i) Name and address of individual or entity (fundraiser)	(ii) Activity	(iii) Did fundraiser have custody or control of contributions? Yes	No	(iv) Gross receipts from activity	(v) Amount paid to (or retained by) fundraiser listed in col. (i)	(vi) Amount paid to (or retained by) organization
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
Total . . . . ▶						

3 List all states in which the organization is registered or licensed to solicit contributions or has been notified it is exempt from registration or licensing.

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

		(a) Event #1 SUMMER CELEBRATION (event type)	(b) Event #2 SOCRATES BENEFIT DINNER (event type)	(c) Other events 2 (total number)	(d) Total events (add col. (a) through col. (c))
Revenue	1 Gross receipts	431,842	349,127	363,068	1,144,037
	2 Less: Contributions	424,112	333,127	358,668	1,115,907
	3 Gross income (line 1 minus line 2)	7,730	16,000	4,400	28,130
Direct Expenses	4 Cash prizes				
	5 Noncash prizes				
	6 Rent/facility costs	111		54,094	54,205
	7 Food and beverages	31,779	34,278		66,057
	8 Entertainment	1,016		1,216	2,232
	9 Other direct expenses	209,478	78,177	187,220	474,875
	10 Direct expense summary. Add lines 4 through 9 in column (d) ▶				597,369
	11 Net income summary. Subtract line 10 from line 3, column (d) ▶				-569,239

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

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

9 Enter the state(s) in which the organization conducts gaming activities: ____________

a Is the organization licensed to conduct gaming activities in each of these states? ☐ **Yes** ☐ **No**

b If "No," explain: ____________

10a Were any of the organization's gaming licenses revoked, suspended or terminated during the tax year? ☐ **Yes** ☐ **No**

b If "Yes," explain: ____________

11 Does the organization conduct gaming activities with nonmembers? . . . . ☐ **Yes** ☐ **No**

12 Is the organization a grantor, beneficiary or trustee of a trust or a member of a partnership or other entity formed to administer charitable gaming? . . . . ☐ **Yes** ☐ **No**

13 Indicate the percentage of gaming activity conducted in:

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

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

Name ▶ --

Address ▶ --

15a Does the organization have a contract with a third party from whom the organization receives gaming revenue? . . . . ☐ **Yes** ☐ **No**

b If "Yes," enter the amount of gaming revenue received by the organization ▶ $ ____________ and the amount of gaming revenue retained by the third party ▶ $ ____________.

c If "Yes," enter name and address of the third party:

Name ▶ --

Address ▶ --

16 Gaming manager information:

Name ▶ --

Gaming manager compensation ▶ $ ------------------------.

Description of services provided ▶ --

☐ Director/officer ☐ Employee ☐ Independent contractor

17 Mandatory distributions:

a Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license? . . . . ☐ Yes ☐ No

b Enter the amount of distributions required under state law distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ▶ $

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

Return Reference	Explanation

Additional Data

Return to Form

Software ID:

Software Version:

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

Schedule I (Form 990)

Department of the Treasury
Internal Revenue Service

Grants and Other Assistance to Organizations, Governments and Individuals in the United States

Complete if the organization answered "Yes," on Form 990, Part IV, line 21 or 22.
▶ Attach to Form 990.
▶ Go to www.irs.gov/Form990 for the latest information.

OMB No. 1545-0047
2021
Open to Public Inspection

Name of the organization: THE ASPEN INSTITUTE INC
Employer identification number: 84-0399006

Part I General Information on Grants and Assistance

1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ☑ Yes ☐ No

2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

Part II Grants and Other Assistance to Domestic Organizations and Domestic Governments. Complete if the organization answered "Yes" on Form 990, Part IV, line 21, for any recipient that received more than $5,000. Part II can be duplicated if additional space is needed.

(a) Name and address of organization or government	(b) EIN	(c) IRC section (if applicable)	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of noncash assistance	(h) Purpose of grant or assistance
(1) ITHAKA HARBORS INC 2 RECTOR STREET NEW YORK,NY 10006	13-3857105	501(C)(3)	741,000	0			COLLABORATION IN THE AMERICAN TALENT INITIATIVE
(2) SOLIYA INC 261 MADISON AVENUE 9TH FLOOR NEW YORK,NY 10016	32-0060209	501(C)(3)	641,157	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(3) ALAMO COMMUNITY COLLEGE DISTRICT 2222 NORTH ALAMO STREET SAN ANTONIO,TX 78215	74-6002173	501(C)(3)	600,000	0			ASPEN PRIZE AWARD WINNER
(4) EQUAL MEASURE 520 WALNUT STREET SUITE 1450 PHILADELPHIA,PA 19106	23-2694572	501(C)(3)	557,010	0			SUPPORT OYF ASPEN FORUM, WORK IN THE ASPEN CRIMINAL JUSTICE REFORM INITIATIVE
(5) BOSTON PRIVATE INDUSTRY COUNCIL INC 2 OLIVER STREET 3RD FLOOR BOSTON,MA 02109	04-2676661	501(C)(3)	550,000	0			FORUM IN YOUTH-LED CHANGE
(6) ALLIANCE FOR CHILDRENS RIGHTS 3333 WILSHIRE BOULEVARD SUITE 550 LOS ANGELES,CA 90010	95-4358213	501(C)(3)	450,000	0			BUILDING ECOSYSTEMS FOR YOUTH OPPORTUNITY IMPLEMENTATION
(7) GLOBAL NOMADS GROUP 132 NASSAU STREET SUITE 822 NEW YORK,NY 10038	75-2750127	501(C)(3)	438,853	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(8) INTERNATIONAL RESEARCH AND EXCHANGES BOARD INC 1275 K STREET NW SUITE 600 WASHINGTON,DC 20005	22-3087809	501(C)(3)	425,212	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(9) WORLD LEARNING INC 1 KIPLING ROAD PO BOX 676 BRATTLEBORO,VT 05302	03-0179592	501(C)(3)	408,270	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(10) THE BOARD OF TRUSTEES OF THE LELAND STANFORD JUNIOR UNIVERSITY 3145 PORTER DRIVE SUITE 142 PALO ALTO,CA 94304	94-1156365	501(C)(3)	402,564	0			ASPEN RISING PRESIDENTS FELLOWSHIP
(11) ALLIANCE OF COMMUNITY ASSITANCE MINISTRIES INC 710 NORTH POST OAK ROAD SUITE 210 HOUSTON,TX 77024	27-5410988	501(C)(3)	300,000	0			BUILDING ECOSYSTEMS FOR YOUTH OPPORTUNITY IMPLEMENTATION
(12) TIDES CENTER 1012 TORNEY AVENUE SAN FRANCISCO,CA 94129	94-3213100	501(C)(3)	300,000	0			OYIF NETWORK BUILD NETWORK GRANT
(13) YOUTHBUILD NEWARK 571 CENTRAL AVENUE 2ND FLOOR NEWARK,NJ 07107	75-3187358	501(C)(3)	300,000	0			BUILDING ECOSYSTEMS FOR YOUTH OPPORTUNITY ACCELERATOR GRANT
(14) CRITERION INSTITUTE INC 81 CHURCH HILL ROAD HADDAM,CT 06438	27-3458737	501(C)(3)	297,629	0			GLOBAL AFFAIRS CANADA GENDER LENS INVESTING
(15) JUSTICE MAPPING CENTER 49 BAYVIEW AVENUE GROUND FLOOR APARTMENT PORT WASHINGTON,NY 11050	20-5537766	501(C)(3)	250,000	0			WORK IN THE ASPEN CRIMINAL JUSTICE REFORM INITIATIVE
(16) GLOBAL DEVELOPMENT INCUBATOR INC 1634 I ST NW SUITE 300 WASHINGTON,DC 20006	14-1945286	501(C)(3)	225,000	0			SUPPORT GOYN INITIATIVE
(17) IMPACT ASSETS 4340 EAST WEST HIGHWAY BETHESDA,MD 20814	26-2048480	501(C)(3)	216,836	0			GLOBAL AFFAIRS CANADA GENDER LENS INVESTING
(18) PHILADELPHIA YOUTH NETWORK 400 MARKET STREET SUITE 200 PHILADELPHIA,PA 19106	23-2993155	501(C)(3)	200,000	0			COLLABORATION ON ECONOMIC OPPORTUNITIES PROGRAM REIMAGINE RETAIL PROJECT
(19) COMMUNITY FOUNDATION OF GREATER BIRMINGHAM 2100 FIRST AVE NORTH SUITE 700 BIRMINGHAM,AL 35203	63-1209631	501(C)(3)	184,380	0			SUPPORT OF THE INCLUSIVE AMERICA PROJECT
(20) YOUTHBUILD USA INC 1785 COLUMBUS AVENUE SUITE 500 ROXBURY,MA 02119	22-3076454	501(C)(3)	170,000	0			SUPPORT GOYN INITIATIVE
(21) COMMUNITY CENTER FOR EDUCATION RESULTS 1200 12TH AVENUE SOUTH SUITE 701 SEATTLE,WA 98144	27-1667560	501(C)(3)	168,957	0			OPPORTUNITY YOUTH REENGAGEMENT MEETINGS AND NETWORK PROVIDER CONVENINGS
(22) CITY OF LONG BEACH 411 WEST OCEAN BOULEVARD LONG BEACH,CA 90802	95-6000733	GOVERNMENT	150,000	0			WORKING SUPPORT OF THE ASPEN POLICY ACCELERATION PARTNERSHIP GRANT
(23) GEORGIA DEPARTMENT OF EARLY CARE AND LEARNING 2 MARTIN LUTHER KING JR DR SE SUITE 754 EAST TOWER ATLANTA,GA 30334	58-2238669	GOVERNMENT	150,000	0			WORKING SUPPORT OF THE ASPEN POLICY ACCELERATION PARTNERSHIP GRANT
(24) MINNESOTA OFFICE OF HIGHER EDUCATION 1450 ENERGY PARK DRIVE SUITE 350 SAINT PAUL,MN 55108	41-6007162	GOVERNMENT	150,000	0			WORKING SUPPORT OF THE ASPEN POLICY ACCELERATION PARTNERSHIP GRANT
(25) PENNSYLVANIA DEPARTMENT OF HUMAN SERVICES PO BOX 2675 HARRISBURG,PA 17105	23-6003113	GOVERNMENT	150,000	0			WORKING SUPPORT OF THE ASPEN POLICY ACCELERATION PARTNERSHIP GRANT
(26) STATE BOARD FOR COMMUNITY COLLEGES AND OCCUPATIONAL EDUCATION 9101 EAST LOWRY BOULEVARD DENVER,CO 80230	38-3721881	GOVERNMENT	150,000	0			WORKING SUPPORT OF THE ASPEN POLICY ACCELERATION PARTNERSHIP GRANT
(27) STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS ONE CAPITAL HILL PROVIDENCE,RI 02908	05-6000522	GOVERNMENT	150,000	0			WORKING SUPPORT OF THE ASPEN POLICY ACCELERATION PARTNERSHIP GRANT
(28) VILCAP INC 1101 K STREET NW SUITE 920 WASHINGTON,DC 20005	27-4059343	501(C)(3)	149,963	0			ADVANCING WOMEN'S EMPOWERMENT CATALYST FUND
(29) JOBS FOR THE FUTURE INC 88 BROAD STREET 8TH FLOOR BOSTON,MA 02110	06-1164568	501(C)(3)	136,000	0			SUPPORT PARTICIPATION OF GLOBAL OPPORTUNITY YOUTH FORUM
(30) THE WILLIAM DAVIDSON INSTITUTE AT THE UNIVERSITY OF MICHIGAN 724 E UNIVERSITY AVENUE ANN ARBOR,MI 48109	38-3048086	501(C)(3)	133,531	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(31) GAMES FOR CHANGE INC PO BOX 770699 WOODSIDE,NY 11377	26-2623362	501(C)(3)	130,042	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(32) ENACTUS US 3253 E CHESTNUT EXPRESSWAY SPRINGFIELD,MO 65802	74-2148471	501(C)(3)	120,818	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(33) BUILD COMMONWEALTH INC 22 BATTERYMARCH STREET SUITE 501 BOSTON,MA 02109	04-3540147	501(C)(3)	120,000	0			RACIAL & GENDER WEALTH GAP IN AMERICA DATA
(34) INNER CITY EDUCATION FOUNDATION 3855 W SLAUSON AVENUE LOS ANGELES,CA 90043	95-4548521	501(C)(3)	120,000	0			REIMAGINING SCHOOL SPORTS CHARTER SCHOOL WINNER
(35) INSTITUTE OF INTERNATIONAL EDUCATION 809 UNITED NATIONS PLAZA NEW YORK,NY 10017	13-1624046	501(C)(3)	118,903	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(36) MASSACHUSETTS INSTITUTE OF TECHNOLOGY 77 MASSACHUSETTS AVENUE CAMBRIDGE,MA 02139	04-2103594	501(C)(3)	114,793	0			ADVANCING WOMEN'S EMPOWERMENT CATALYST FUND
(37) FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES 11200 SW 8TH STREET CSC314 MIAMI,FL 33199	65-0177616	501(C)(3)	114,639	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(38) AMERICAN ASSOCIATION STATE COLLEGES AND UNIVERSITIES ONE DUPONT CIRCLE NW SUITE 410 WASHINGTON,DC 20036	53-0194569	501(C)(3)	110,000	0			SCALING PARTNERS CURRICULUM
(39) WORKSOURCE GREATER AUSTIN AREA WORKFORCE BOARD 9001 N IH 35 SUITE 110E AUSTIN,TX 78753	74-2327454	501(C)(3)	105,000	0			GRANT TO SUPPORT ASPEN OPPORTUNITY YOUTH FORUM
(40) THE DISTRICT BOARD OF TRUSTEES OF BROWARD COLLEGE FLORIDA 6400 NW 6TH WAY FORT LAUDERDALE,FL 33309	59-1216107	501(C)(3)	101,500	0			ASPEN PRIZE FINALIST AWARD
(41) DENVER WORLD AFFAIRS COUNCIL 3607 MARTIN LUTHER KING JR BOULEVARD DENVER,CO 80205	45-4346778	501(C)(3)	101,207	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(42) AMARILLO JUNIOR COLLEGE DISTRICT PO BOX 447 AMARILLO,TX 79178	75-6000031	501(C)(3)	100,000	0			RISING STAR AWARD
(43) ARIZONA STATE UNIVERSITY PO BOX 876011 TEMPE,AZ 85287	86-0196696	501(C)(3)	100,000	0			SCALING PARTNERS CURRICULUM
(44) FORUM FOR YOUTH INVESTMENT 7064 EASTERN AVENUE NW WASHINGTON,DC 20012	52-2262472	501(C)(3)	100,000	0			FUND FOR YOUTH CONNECTIVITY GRANT
(45) NEW ORLEANS YOUTH ALLIANCE 1765 A SOUTH WHITE STREET NEW ORLEANS,LA 70125	82-4252141	501(C)(3)	100,000	0			BUILDING ECOSYSTEMS FOR YOUTH OPPORTUNITY ACCELERATOR GRANT
(46) RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK 230 WEST 41ST STREET 7TH FLOOR NEW YORK,NY 10036	13-1988190	501(C)(3)	99,211	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(47) EMPOWERMT 2300 REGENT STREET SUITE 101 MISSOULA,MT 59801	81-0526099	501(C)(3)	90,000	0			FORUM IN YOUTH-LED CHANGE
(48) GLOBAL TIES US 1250 H STREET NW 305 WASHINGTON,DC 20005	52-0848694	501(C)(3)	82,520	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(49) AMERICAN MUSLIM FUND 41041 TRIMBOLI WAY SUITE 1533 FREMONT,CA 94538	81-2954073	501(C)(3)	81,378	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(50) ENGINEERING WORLD HEALTH 311 W MAIN STREET 511 DURHAM,NC 27701	62-1868670	501(C)(3)	80,863	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(51) PRESIDENT & BOARD OF TRUSTEES OF SANTA CLARA COLLEGE 500 EL CAMINO REAL SANTA CLARA,CA 95053	94-1156617	501(C)(3)	78,025	0			ADVANCING WOMEN'S EMPOWERMENT CATALYST FUND
(52) HUMBOLDT AREA FOUNDATION 990 RIGHT STREET CRESCENT CITY,CA 95531	23-7310660	501(C)(3)	75,000	0			SUPPORT GRANT TO COMMUNITY/TRIBAL COLLABORATIVE
(53) SUNNING HOPE FOR COMMUNITIES INC 175 VARICK STREET NEW YORK,NY 10014	27-1493201	501(C)(3)	75,000	0			SUPPORT EQUITY AT THE LAST MILE INITIATIVE
(54) COMMUNITIES UNLIMITED INC 3 EAST COLT SQUARE DRIVE FAYETTEVILLE,AR 72703	71-0464321	501(C)(3)	70,000	0			OPPORTUNITY YOUTH REENGAGEMENT MEETINGS AND NETWORK PROVIDER CONVENINGS
(55) THE RESEARCH FOUNDATION FOR THE STATE UNIVERSITY OF NEW YORK PO BOX 9 ALBANY,NY 12201	14-1368361	501(C)(3)	69,368	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(56) THE KIND FOUNDATION INC PO BOX 705 MIDTOWN STATION NEW YORK,NY 10018	81-0856748	501(C)(3)	68,390	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(57) NEW YORK ACADEMY OF SCIENCES 7 WORLD TRADE CENTER 250 GREENWICH STREET 40TH FLOOR NEW YORK,NY 10128	13-1773640	501(C)(3)	67,899	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(58) AMERICA MIDEAST EDUCATIONAL AND TRAINING SERVICES INC 2025 M STREET NW SUITE 600 WASHINGTON,DC 20036	53-0243270	501(C)(3)	66,445	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(59) NEW MEXICO ASSOCIATION OF GRANTMAKERS PO BOX 70134 ALBUQUERQUE,NM 87197	85-0437031	501(C)(3)	60,000	0			OPPORTUNITY YOUTH ECOSYSTEM SUPPORT GRANT
(60) NORTH CAROLINA STATE UNIVERSITY 2701 SULLIVAN DRIVE CAMPUS BOX 7205 RALEIGH,NC 27695	56-6000756	501(C)(3)	58,500	0			SUPPORT ACCELERATING WORK-LED VENTURES PROJECT
(61) CLEAN AIR TASK FORCE INC 114 STATE STREET 6TH FLOOR BOSTON,MA 02109	04-3512550	501(C)(3)	50,000	0			ADVANCE ZERO-EMISSION MARITIME SHIPPING
(62) NUETA HIDATSA SAHNISH COLLEGE 301 COLLEGE DRIVE NEW TOWN,ND 58763	45-0322990	501(C)(3)	50,000	0			CHAMPIONS FOR CHANGE INITIATIVE
(63) SOCIAL SCIENCE RESEARCH COUNCIL 300 CADMAN PLAZA WEST ONE PIERREPONT PLAZA 15TH FLOOR BROOKLYN,NY 11201	13-1325070	501(C)(3)	50,000	0			SUPPORT OYF ASPEN FORUM
(64) YOUTHPRISE 3051 BROADWAY STREET NE SUITE 330 MINNEAPOLIS,MN 55413	27-4026970	501(C)(3)	50,000	0			YOUTH-LED CHANGE FUND
(65) THE ASIA SOCIETY 725 PARK AVENUE NEW YORK,NY 10021	13-3234632	501(C)(3)	45,835	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(66) THE BROOKINGS INSTITUTION 1775 MASSACHUSETTS AVENUE NW WASHINGTON,DC 20036	53-0196577	501(C)(3)	41,250	0			J. SCHUETZ FELLOWSHIP AGREEMENT
(67) [illegible] 1611 COUNTY ROAD B WEST SUITE 320 ROSEVILLE,MN 55113	14-1955018	501(C)(3)	40,000	0			SUPPORT FRESH TRACKS INITIATIVE
(68) THE SAND COUNTY FOUNDATION INC 131 W WILSON STREET SUITE 610 MADISON,WI 53703	39-6089450	501(C)(3)	40,000	0			AWARD FOR 2021 WATER FORUM PARTNER
(69) UNDER ONE ROOF 21 KEMP COURT ALAMO,CA 94507	66-1871541	501(C)(3)	35,000	0			GLOBAL INCLUSIVE GROWTH SPARKS GRANT
(70) AFRICAN ENTREPRENEURSHIP COLLECTIVE PO BOX 209 CLINTON,WA 98236	46-0743201	501(C)(3)	32,250	0			ADVANCING WOMEN'S EMPOWERMENT CATALYST FUND
(71) ONSLOW COUNTY PUBLIC SCHOOLS 200 BROADHURST ROAD JACKSONVILLE,NC 28540	56-6001089	501(C)(3)	30,543	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(72) CHEYENNE RIVER YOUTH PROJECT PO BOX 410 EAGLE BUTTE,SD 57625	46-0423106	501(C)(3)	25,000	0			CHAMPIONS FOR CHANGE INITIATIVE
(73) THE HOPI FOUNDATION PO BOX 301 KYKOTSMOVI,AZ 86039	74-2488628	501(C)(3)	25,000	0			DATA FOR IMPACT RURAL AND TRIBAL DATA ENHANCEMENT GRANT
(74) THE UNIVERSITY OF TEXAS AT AUSTIN 110 INNER CAMPUS DRIVE STOP K5300 AUSTIN,TX 78712	74-6000203	501(C)(3)	25,000	0			SUPPORT OYF ASPEN FORUM
(75) THE TRUSTES OF THE UNIVERSITY OF PENNSLYLVANIA 3451 WALNUT STREET ROOM 329 PHILADELPHIA,PA 19104	23-1352685	501(C)(3)	24,500	0			COLLABORATION ON COMMUNITY-BASED EFFORTS OF CIVIC SCIENCE
(76) BOARD OF EDUCATION OF FREDERICK COUNTY 191 S EAST STREET FREDERICK,MD 21701	52-6000941	501(C)(3)	20,000	0			AWARD FOR LARGE SUBURBAN REIMAGINING SCHOOL SPORTS WINER
(77) COMMUNITY FOUNDATION FOR GREATER BUFFALO INC 726 EXCHANGE STREET SUITE 525 BUFFALO,NY 14210	22-2743917	501(C)(3)	20,000	0			OPPORTUNITY YOUTH FORUM LEARNING GRANT
(78) SCIENCE LEADERSHIP ACADEMY HOME AND SCHOOL ASSOCIATION 1482 GREEN STREET PHILADELPHIA,PA 19130	61-1513400	501(C)(3)	20,000	0			PRIVATE SCHOOL WINNER REIMAGINING SCHOOL SPORTS
(79) TRINITY SCHOOL OF DURHAM AND CHAPEL HILL 4011 PICKETT ROAD DURHAM,NC 27705	56-1926923	501(C)(3)	20,000	0			AWARD FOR PRIVATE SCHOOL WINNER
(80) SEATTLE UNIVERSITY 901-12TH AVENUE PO BOX 222000 SEATTLE,WA 98122	91-0565006	501(C)(3)	14,230	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(81) TEXAS INTERNATIONAL EDUCATION CONSORTIUM 1103 W 24TH STREET AUSTIN,TX 78705	74-2383582	501(C)(3)	13,437	0			STEVENS INITIATIVE CULTURAL EXCHANGE
(82) DUKE UNIVERSITY PO BOX 104132 DURHAM,NC 27708	56-0532129	501(C)(3)	10,000	0			PARTNERSHIP AWARD FOR THEIR PARTNERSHIP IN THE 2021 ASPEN-NICHOLAS WATER FORUM AND ROUNDTABLES
(83) CATHOLIC UNIVERSITY OF AMERICA 620 MICHIGAN AVENUE NE WASHINGTON,DC 20064	53-0196583	501(C)(3)	8,275	0			WORK IN THE POLITICS OF VULNERABILITY PROJECT
(84) THE URBAN OASIS INC 2812 CLIFTON AVENUE BALTIMORE,MD 21216	84-3768675	501(C)(3)	7,000	0			WEAVER AWARDS
(85) VILLAGE OF VIOLETVILLE INC 1218 HAVERHILL ROAD BALTIMORE,MD 21229	84-2168228	501(C)(3)	7,000	0			WEAVER AWARDS
(86) HISPANIC UNITY OF FLORIDA INC 5840 JOHNSON STREET HOLLYWOOD,FL 33021	59-2230272	501(C)(3)	6,000	0			2GEN LEVEL UP PRIZE PAYMENT
(87) ACHIEVING THE DREAM 8484 GEORGIA AVENUE SUITE 500 SILVER SPRING,MD 20910	27-1635830	501(C)(3)	5,500	0			COHORT HONORARIUM

2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table . . . ▶ 87

3 Enter total number of other organizations listed in the line 1 table . . . ▶ 0

Part III **Grants and Other Assistance to Domestic Individuals.** Complete if the organization answered "Yes" on Form 990, Part IV, line 22.
Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of noncash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of noncash assistance
(1) HONORARIA	200	469,450			
(2) AWARDS	41	155,561			
(3) EVENT PARTICIPATION STIPEND	53	75,433			
(4) HEALTH STIPEND	14	22,500			
(5) TRAVEL STIPEND	14	18,000			
(6) PRIZES	4	37,500			
(6)					
(7)					

Part IV **Supplemental Information.** Provide the information required in Part I, line 2; Part III, column (b); and any other additional information.

Return Reference	Explanation
PART I, LINE 2:	THE INSTITUTE PERIODICALLY ENGAGES OTHER ENTITIES TO FURTHER THE OBJECTIVES SET FORTH IN OUR GRANT AGREEMENTS. THIS IS TYPICALLY DONE VIA SUB-AWARDS OR RE-GRANTS THAT RUN CONCURRENTLY WITH THE PRIME AWARD IN WHICH THE SUB RECIPIENTS ARE ADVISED OF ALL APPLICABLE LAWS AND REGULATIONS, AND ALL APPROPRIATE FLOW-DOWN PROVISIONS FROM THE PRIME AGREEMENT. ALL SUB GRANTEES OR SERVICE PROVIDERS MUST ALSO CERTIFY THAT IT DOES NOT AND WILL NOT KNOWINGLY PROVIDE MATERIAL SUPPORT OR RESOURCES TO ANY INDIVIDUAL OR ENTITY INVOLVED WITH TERRORISM (INCLUDING ANY INDIVIDUALS ENTITIES OR GROUPS SUBJECT TO OFAC SANCTIONS) OR TO ANYONE WHO ACTS AS AN AGENT FOR SUCH AN INDIVIDUAL OR ENTITY, ANY VIOLATION OF THIS CERTIFICATION MUST BE GROUNDS FOR IMMEDIATE TERMINATION OF THE LETTER OF AGREEMENT AND RETURN OF ALL GRANT FUNDS. THE FREQUENCY AND SCOPE OF RESEARCH PROGRAM'S MONITORING PROCEDURES ARE DETERMINED JOINTLY BY THE RESPONSIBLE PROGRAM MANAGER AND RESPECTIVE GRANT ADMINISTRATOR/FINANCIAL ANALYST. THIS INCLUDES THE ROUTINE RECEIPT AND REVIEW OF THE NARRATIVE AND FINANCIAL REPORTS, A REVIEW OF EXPENSES TO BUDGET, THE OPTION TO PERFORM AUDITS, AND ALLOWS FOR THE PERFORMANCE OF SITE VISITS IF NECESSARY. THE INSTITUTE IS NOTIFIED WHENEVER PROBLEMS DELAYS OR OTHER CONDITIONS DEVELOP WHICH WOULD HAVE SIGNIFICANT IMPACT UPON THE PROJECT. BUDGET REVISIONS ARE ALLOWED WITHIN THE PARAMETERS SET FORTH IN EACH SUB AWARD. THE PAYMENT SCHEDULE AND THE DEGREE OF FLEXIBILITY OFFERED MAY DEPEND ON PREVIOUS EXPERIENCE WITH THE RECIPIENT, THE DEGREE OF EXTERNAL OVERSIGHT BY OTHER PARTIES, AND THE SOPHISTICATION OF THE RECIPIENT'S ADMINISTRATIVE SYSTEMS.

Additional Data

Return to Form

Software ID:

Software Version:

Schedule J (Form 990)

Department of the Treasury
Internal Revenue Service

Compensation Information

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees
▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 23.
▶ Attach to Form 990.
▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2021

Open to Public Inspection

Name of the organization
THE ASPEN INSTITUTE INC

Employer identification number
84-0399006

Part I Questions Regarding Compensation

			Yes	No
1a	Check the appropiate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items. ☐ First-class or charter travel ☐ Housing allowance or residence for personal use ☑ Travel for companions ☐ Payments for business use of personal residence ☐ Tax idemnification and gross-up payments ☐ Health or social club dues or initiation fees ☐ Discretionary spending account ☐ Personal services (e.g., maid, chauffeur, chef)			
b	If any of the boxes on Line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain	**1b**	Yes	
2	Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, officers, including the CEO/Executive Director, regarding the items checked on Line 1a?	**2**	Yes	
3	Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III. ☑ Compensation committee ☐ Written employment contract ☑ Independent compensation consultant ☑ Compensation survey or study ☑ Form 990 of other organizations ☑ Approval by the board or compensation committee			
4	During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:			
a	Receive a severance payment or change-of-control payment?	**4a**		No
b	Participate in, or receive payment from, a supplemental nonqualified retirement plan?	**4b**		No
c	Participate in, or receive payment from, an equity-based compensation arrangement? If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.	**4c**		No
	Only 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.			
5	For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:			
a	The organization?	**5a**		No
b	Any related organization? . . . . If "Yes," on line 5a or 5b, describe in Part III.	**5b**		No
6	For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:			
a	The organization?	**6a**		No
b	Any related organization? . . . . If "Yes," on line 6a or 6b, describe in Part III.	**6b**		No
7	For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described in lines 5 and 6? If "Yes," describe in Part III	**7**		No
8	Were any amounts reported on Form 990, Part VII, paid or accured pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III	**8**		No
9	If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?	**9**		

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

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

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

(A) Name and Title		(B) Breakdown of W-2, 1099-MISC compensation, and/or 1099-NEC			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
1 DANIEL PORTERFIELD PRESIDENT & CEO	(i)	532,293	108,127	3,564	32,346	22,426	698,756	0
	(ii)	0	0	0	0	0	0	0
2 ELLIOT GERSON EXECUTIVE VP	(i)	444,033	0	6,858	43,500	16,001	510,392	0
	(ii)	0	0	0	0	0	0	0
3 NAMITA KHASAT CFO/CAO/TREASURER	(i)	404,670	0	3,564	40,711	16,046	464,991	0
	(ii)	0	0	0	0	0	0	0
4 DAVID LANGSTAFF EXEC VICE PRESIDENT	(i)	346,999	0	6,858	33,461	23,498	410,816	0
	(ii)	0	0	0	0	0	0	0
5 STEPHEN PATRICK EXECUTIVE DIRECTOR	(i)	329,441	0	1,242	43,500	22,325	396,508	0
	(ii)	0	0	0	0	0	0	0
6 JANE WALES VP, EXECUTIVE DIRECTOR	(i)	339,656	0	11,124	43,500	2,042	396,322	0
	(ii)	0	0	0	0	0	0	0
7 ANN MOSLE VP, EXECUTIVE DIRECTOR	(i)	325,350	0	2,322	43,500	22,332	393,504	0
	(ii)	0	0	0	0	0	0	0
8 VIVIAN SCHILLER EXECUTIVE DIRECTOR	(i)	342,815	0	3,564	29,000	15,924	391,303	0
	(ii)	0	0	0	0	0	0	0
9 ERIKA MALLIN EXECUTIVE DIRECTOR	(i)	347,508	0	2,322	25,709	8,988	384,527	0
	(ii)	0	0	0	0	0	0	0
10 MARIA ACEBAL VP STRATEGIC DEV CORP SECRETARY	(i)	260,760	16,500	1,198	24,541	22,335	325,334	0
	(ii)	0	0	0	0	0	0	0
11 ERIC MOTLEY EVP, CORP SECRETARY - UNTIL 08/2021	(i)	279,917	0	498	28,442	10,755	319,612	0
	(ii)	0	0	0	0	0	0	0

Part III Supplemental Information

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

Return Reference	Explanation
PART I, LINE 1A	THE ASPEN INSTITUTE FOLLOWS A POLICY GOVERNING EXPENSE REIMBURSEMENT AND COMPLIES WITH TRAVEL GUIDELINES APPLICABLE TO ALL EMPLOYEES.

Additional Data

Return to Form

Software ID:

Software Version:

SCHEDULE M (Form 990)

Department of the Treasury
Internal Revenue Service

Noncash Contributions

▶Complete if the organizations answered "Yes" on Form 990, Part IV, lines 29 or 30.
▶ Attach to Form 990.
▶Go to *www.irs.gov/Form990* for the latest information.

OMB No. 1545-0047

2021

Open to Public Inspection

Name of the organization
THE ASPEN INSTITUTE INC

Employer identification number
84-0399006

Part I Types of Property

	(a) Check if applicable	(b) Number of contributions or items contributed	(c) Noncash contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining noncash contribution amounts
1 Art—Works of art				
2 Art—Historical treasures .				
3 Art—Fractional interests . .				
4 Books and publications . .				
5 Clothing and household goods				
6 Cars and other vehicles . .				
7 Boats and planes				
8 Intellectual property . . .				
9 Securities—Publicly traded .	X	48	10,448,358	FMV
10 Securities—Closely held stock .				
11 Securities—Partnership, LLC, or trust interests				
12 Securities—Miscellaneous . .				
13 Qualified conservation contribution—Historic structures				
14 Qualified conservation contribution—Other . . .				
15 Real estate—Residential .				
16 Real estate—Commercial . .				
17 Real estate—Other . . .				
18 Collectibles				
19 Food inventory . . .				
20 Drugs and medical supplies .				
21 Taxidermy				
22 Historical artifacts				
23 Scientific specimens . .				
24 Archeological artifacts . . .				
25 Other ▶ ( )				
26 Other ▶ ( )				
27 Other ▶ ( )				
28 Other ▶ ( )				

29 Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement	29	

		Yes	No
30a During the year, did the organization receive by contribution any property reported in Part I, lines 1 through 28, that it must hold for at least three years from the date of the initial contribution, and which isn't required to be used for exempt purposes for the entire holding period?	30a		No
b If "Yes," describe the arrangement in Part II.			
31 Does the organization have a gift acceptance policy that requires the review of any nonstandard contributions?	31	Yes	
32a Does the organization hire or use third parties or related organizations to solicit, process, or sell noncash contributions?	32a		No
b If "Yes," describe in Part II.			
33 If the organization didn't report an amount in column (c) for a type of property for which column (a) is checked, describe in Part II.			

Part II Supplemental Information. Provide the information required by Part I, lines 30b, 32b, and 33, and whether the organization is reporting in Part I, column (b), the number of contributions, the number of items received, or a combination of both. Also complete this part for any additional information.

Return Reference	Explanation
PART I, COLUMN (B):	THIS COLUMN REPRESENTS THE NUMBER OF ACTUAL CONTRIBUTIONS, NOT THE NUMBER OF ITEMS CONTRIBUTED.
PART I, LINE 32B:	THE INSTITUTE HAS A WRITTEN GIFT ACCEPTANCE POLICY. IF A DONOR WANTS TO GIVE A GIFT OUTSIDE OF THAT POLICY, IT WILL BE REVIEWED BY SENIOR MANAGEMENT AND, IF NECESSARY, REFERRED TO THE BOARD OF TRUSTEES.

Additional Data

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Software ID:

Software Version:

SCHEDULE O (Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information.
▶ Attach to Form 990 or 990-EZ.
▶ Go to www.irs.gov/Form990 for the latest information.

OMB No. 1545-0047
2021
Open to Public Inspection

Name of the organization
THE ASPEN INSTITUTE INC

Employer identification number
84-0399006

Return Reference	Explanation
FORM 990, PART III, LINE 1	SOCIETY'S BIGGEST CHALLENGES. WE BRING TOGETHER THOUGHTFUL PEOPLE WITH DIVERSE BACKGROUNDS AND POINTS OF VIEW; WE CULTIVATE AND SUPPORT VALUES-BASED, PURPOSE-DRIVEN LEADERS IN MANY COMMUNITIES; WE TURN IDEAS INTO ACTION AND IMPACT FOR INDIVIDUALS AND SOCIETY. FOR NEARLY 70 YEARS, THE INSTITUTE HAS WORKED TO ADVANCE A MISSION TO CULTIVATE ASPIRATIONAL, VALUES-BASED LEADERS; CONVENE DIVERSE THINKERS AND DOERS AROUND CRITICAL QUESTIONS AND ISSUES; ELEVATE COMPELLING IDEAS AND WORKS OF ART, LITERATURE, AND CULTURE; AND NURTURE A STRONG CIVIL SOCIETY, ACCOUNTABLE INSTITUTIONS, AND EFFECTIVE PROBLEM-SOLVING. IT IS BASED IN WASHINGTON, DC WITH CAMPUSES AND OFFICES IN ASPEN, COLORADO, ITS ORIGINAL HOME SINCE ITS FOUNDING IN 1949, AND NEW YORK CITY. ELEVEN OFFICIAL INTERNATIONAL PARTNERS CONDUCT REGULAR MEETINGS AND SEMINARS IN COUNTRIES THROUGHOUT LATIN AMERICA, EUROPE, AND ASIA.
FORM 990, PART VI, SECTION B, LINE 11B	THE FEDERAL FORM 990 OF THE INSTITUTE IS PREPARED BY AN EXTERNAL ACCOUNTING FIRM USING INFORMATION OBTAINED FROM INSTITUTE'S STAFF. ONCE THE INITIAL DRAFT IS PREPARED, IT IS REVIEWED BY SR. FINANCE/ACCOUNTING STAFF. IF NECESSARY, CHANGES ARE MADE AND ANOTHER DRAFT IS ISSUED. THE SECOND DRAFT FORM 990 IS REVIEWED BY AN APPOINTED MEMBER OF THE AUDIT COMMITTEE ALONG WITH THE EVP FINANCE & ADMINISTRATION AND VP OF FINANCE. IF NECESSARY, CHANGES ARE MADE AND ANOTHER DRAFT IS ISSUED. THE FINAL DRAFT FORM 990 IS PROVIDED TO ALL MEMBERS OF THE AUDIT COMMITTEE, WHICH INCLUDES THE CHAIR OF THE BOARD OF TRUSTEES. ONCE APPROVED, COPIES ARE THEN DISTRIBUTED TO ALL BOARD MEMBERS BEFORE THE RETURN IS FILED WITH THE INTERNAL REVENUE SERVICE.
FORM 990, PART VI, SECTION B, LINE 12C	ALL ASPEN INSTITUTE TRUSTEES AND EMPLOYEES ARE REQUIRED ANNUALLY TO COMPLETE AND SIGN A DISCLOSURE AND ACKNOWLEDGEMENT FORM RELATED TO THE INSTITUTE'S CONFLICT OF INTEREST POLICY. SPECIFICALLY, ALL TRUSTEES AND EMPLOYEES ARE REQUIRED TO ACKNOWLEDGE THAT THEY HAVE READ, UNDERSTOOD, AND ARE COMMITTED TO ABIDING BY THE INSTITUTE'S CONFLICT OF INTEREST POLICY, AND TO MAKE CERTAIN DISCLOSURES ABOUT THEIR ACTIVITIES OUTSIDE OF WORK AND FINANCES TO HELP IDENTIFY POSSIBLE CONFLICTS OF INTEREST. ALL EMPLOYEE FORMS ARE SUBMITTED TO THE HUMAN RESOURCES DEPARTMENT, WHICH REVIEWS THEM AND HAS DISCRETION, IN COORDINATION WITH THE GENERAL COUNSEL AND SENIOR MANAGEMENT, TO MAKE RECOMMENDATIONS OR RAISE CONCERNS WITH AFFECTED INDIVIDUALS AS APPROPRIATE. ALL TRUSTEE FORMS ARE SUBMITTED TO THE OFFICE OF THE CORPORATE SECRETARY, WHICH REVIEWS THEM ALONG WITH THE GENERAL COUNSEL. MAJOR CONFLICT OF INTEREST ISSUES INVOLVING TRUSTEES AND/OR SENIOR MANAGEMENT ARE REFERRED TO THE AUDIT COMMITTEE OF THE BOARD OF TRUSTEES FOR RESOLUTION. THE CORPORATE SECRETARY, GENERAL COUNSEL AND SENIOR MANAGEMENT REGULARLY CONFER WITH THE CHAIR OF THE AUDIT COMMITTEE REGARDING THE INSTITUTE'S CONFLICT OF INTEREST POLICY AND ANY CONFLICT OF INTEREST ISSUES.
FORM 990, PART VI, SECTION B, LINE 15	THE INSTITUTE CONTRACTS WITH AN EXTERNAL COMPENSATION FIRM TO PERFORM A MARKET ANALYSIS TO SET THE SALARY RANGES FOR ALL OF OUR POSITIONS ANNUALLY. THE COMPENSATION FIRM ANALYZES SALARIES FROM LIKE ORGANIZATIONS TO DETERMINE THE APPROPRIATE SALARY RANGE FOR EACH POSITION IN THE INSTITUTE. THE INSTITUTE'S COMPENSATION PHILOSOPHY IS THAT WE GENERALLY TARGET THE 50TH PERCENTILE OF THE MARKET FOR OUR POSITIONS. IN ADDITION TO THE ANNUAL MARKET ANALYSIS FOR ALL POSITIONS, WE CONTRACT WITH AN EXTERNAL COMPENSATION CONSULTANT BI-ANNUALLY TO CONDUCT AN IN-DEPTH ANALYSIS FOR OUR PRESIDENT/CEO AND EACH OF OUR EXECUTIVE OFFICERS. EACH EXECUTIVE'S TOTAL COMPENSATION IS BENCHMARKED AGAINST SIMILAR POSITIONS IN COMPARABLE ORGANIZATIONS IN LABOR MARKETS IN WHICH THE INSTITUTE COMPETES FOR EXECUTIVE TALENT. THE RECOMMENDATIONS OF THE CONSULTANT ARE PRESENTED TO THE EXECUTIVE COMMITTEE OF THE BOARD FOR THEIR REVIEW AND ENDORSEMENT. THE PRESIDENT/CEO'S SALARY IS THEN PRESENTED TO THE FULL BOARD FOR FINAL APPROVAL. TO HELP MITIGATE COVID-RELATED BUDGET IMPACTS, A NUMBER OF ACTIONS WERE TAKEN, INCLUDING VOLUNTARY SALARY REDUCTIONS BY ALL SENIOR EXECUTIVE STAFF, A FREEZE ON OPEN POSITIONS, ACROSS THE BOARD CONTROLS ON SALARY INCREASES, AND OTHER RESTRICTIONS ON SALARIES.
FORM 990, PART VI, SECTION C, LINE 19	THE DOCUMENTS ARE ALL PUBLISHED ON OUR WEBSITE AND MADE AVAILABLE BY REQUEST.
FORM 990, PART IX, LINE 11G	CONTRACTUAL INTERNATIONAL STAFF: PROGRAM SERVICE EXPENSES 1,533,184. MANAGEMENT AND GENERAL EXPENSES 0. FUNDRAISING EXPENSES 0. TOTAL EXPENSES 1,533,184. IT SUPPORT SERVICE: PROGRAM SERVICE EXPENSES 713,331. MANAGEMENT AND GENERAL EXPENSES 1,579,761. FUNDRAISING EXPENSES 0. TOTAL EXPENSES 2,293,092. CONSULTANTS: PROGRAM SERVICE EXPENSES 12,656,972. MANAGEMENT AND GENERAL EXPENSES 1,233,268. FUNDRAISING EXPENSES 2,125. TOTAL EXPENSES 13,892,365. CONTRIBUTING WRITERS AND RAPPORTEURS: PROGRAM SERVICE EXPENSES 195,257. MANAGEMENT AND GENERAL EXPENSES 0. FUNDRAISING EXPENSES 0. TOTAL EXPENSES 195,257. TEMPORARY SERVICES: PROGRAM SERVICE EXPENSES 181,943. MANAGEMENT AND GENERAL EXPENSES 72,308. FUNDRAISING EXPENSES 0. TOTAL EXPENSES 254,251. PHOTOGRAPHY: PROGRAM SERVICE EXPENSES 185,475. MANAGEMENT AND GENERAL EXPENSES 5,787. FUNDRAISING EXPENSES 2,863. TOTAL EXPENSES 194,125. PROMOTIONAL EXPENSE: PROGRAM SERVICE EXPENSES 94,239. MANAGEMENT AND GENERAL EXPENSES 28,456. FUNDRAISING EXPENSES 0. TOTAL EXPENSES 122,695. CONTRACTED SERVICES: PROGRAM SERVICE EXPENSES 1,076,540. MANAGEMENT AND GENERAL EXPENSES 1,294,280. FUNDRAISING EXPENSES 64,198. TOTAL EXPENSES 2,435,018. AUDIO VISUAL/DIGITAL SERVICES: PROGRAM SERVICE EXPENSES 765,981. MANAGEMENT AND GENERAL EXPENSES 58,536. FUNDRAISING EXPENSES 71,287. TOTAL EXPENSES 895,804. MODERATOR AND SPEAKER: PROGRAM SERVICE EXPENSES 519,669. MANAGEMENT AND GENERAL EXPENSES 0. FUNDRAISING EXPENSES 1,750. TOTAL EXPENSES 521,419.
FORM 990, PART XI, LINE 9:	REFUNDED GRANTS 195,226.

Additional Data

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