

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

Department of the Treasury  
Internal Revenue Service

**Public Charity Status and Public Support**

To be completed by all section 501(c)(3) organizations and section 4947(a)(1) nonexempt charitable trusts.

▶ Attach to Form 990 or Form 990-EZ. ▶ See separate instructions.

OMB No. 1545-0047

**2008**

**Open to Public Inspection**

Name of the organization	Employer identification number
--------------------------	--------------------------------

**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: (Please check only **one** organization.)

- 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.)
- 3  A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii)**. (Attach Schedule H.)
- 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 organization that normally receives: (1) more than 33⅓ % 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 33⅓ % 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.)
- 10  An organization organized and operated exclusively to test for public safety. See **section 509(a)(4)**. (see instructions)
- 11  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 that describes the type of supporting organization and complete lines 11e through 11h.
  - a  Type I      b  Type II      c  Type III—Functionally integrated      d  Type III—Other
  - e  By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2).
  - f If the organization received a written determination from the IRS that it is a Type I, Type II, or Type III supporting organization, check this box
  - g Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?
    - (i) A person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the supported organization? .....
    - (ii) A family member of a person described in (i) above? .....
    - (iii) A 35% controlled entity of a person described in (i) or (ii) above? .....

	Yes	No
11g(i)		
11g(ii)		
11g(iii)		

h Provide the following information about the organizations the organization supports.

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1–9 above or IRC section (see instructions))	(iv) Is the organization in col. (i) listed in your governing document?		(v) Did you notify the organization in col. (i) of your support?		(vi) Is the organization in col. (i) organized in the U.S.?		(vii) Amount of support
			Yes	No	Yes	No	Yes	No	
<b>Total</b>									

**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.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2004	(b) 2005	(c) 2006	(d) 2007	(e) 2008	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") . . . . .						
<b>2</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .						
<b>3</b> The value of services or facilities furnished by a governmental unit to the organization without charge . . . . .						
<b>4 Total.</b> Add lines 1-3 . . . . .						
<b>5</b> 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) . . . . .						
<b>6 Public support.</b> Subtract line 5 from line 4.						

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2004	(b) 2005	(c) 2006	(d) 2007	(e) 2008	(f) Total
<b>7</b> Amounts from line 4 . . . . .						
<b>8</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . . . .						
<b>9</b> Net income from unrelated business activities, whether or not the business is regularly carried on . . . . .						
<b>10</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.) . . . . .						
<b>11 Total support.</b> Add lines 7 through 10 . . . . .						
<b>12</b> Gross receipts from related activities, etc. (see instructions) . . . . .					<b>12</b>	
<b>13 First five years.</b> 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 <b>stop here</b> . . . . . ▶ <input type="checkbox"/>						

**Section C. Computation of Public Support Percentage**

<b>14</b> Public support percentage for 2008 (line 6, column (f) divided by line 11, column (f)) . . . . .	<b>14</b>	%
<b>15</b> Public support percentage from 2007 Schedule A, Part IV-A, line 26f . . . . .	<b>15</b>	%
<b>16a 33 1/3 % support test—2008.</b> If the organization did not check the box on line 13, and line 14 is 33 1/3 % or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
<b>b 33 1/3 % support test—2007.</b> 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 <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
<b>17a 10%-facts-and-circumstances test—2008.</b> 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 <b>stop here.</b> Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
<b>b 10%-facts-and-circumstances test—2007.</b> 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 <b>stop here.</b> Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
<b>18 Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions ▶ <input type="checkbox"/>		

**Part III Support Schedule for Organizations Described in Section 509(a)(2)**  
(Complete only if you checked the box on line 9 of Part I.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2004	(b) 2005	(c) 2006	(d) 2007	(e) 2008	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") . . . . .						
<b>2</b> 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 . . . . .						
<b>3</b> Gross receipts from activities that are not an unrelated trade or business under section 513 . . . . .						
<b>4</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .						
<b>5</b> The value of services or facilities furnished by a governmental unit to the organization without charge . . . . .						
<b>6 Total.</b> Add lines 1-5 . . . . .						
<b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons . . . . .						
<b>b</b> Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of 1% of the total of lines 9, 10c, 11, and 12 for the year or \$5,000 . . . . .						
<b>c</b> Add lines 7a and 7b . . . . .						
<b>8 Public support</b> (Subtract line 7c from line 6.) . . . . .						

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2004	(b) 2005	(c) 2006	(d) 2007	(e) 2008	(f) Total
<b>9</b> Amounts from line 6 . . . . .						
<b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . . . .						
<b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 . . . . .						
<b>c</b> Add lines 10a and 10b . . . . .						
<b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on . . . . .						
<b>12</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.) . . . . .						
<b>13 Total support.</b> (Add lines 9, 10c, 11, and 12.) . . . . .						

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

**Section C. Computation of Public Support Percentage**

<b>15</b> Public support percentage for 2008 (line 8, column (f) divided by line 13, column (f)) . . . . .	<b>15</b>	%
<b>16</b> Public support percentage from 2007 Schedule A, Part IV-A, line 27g . . . . .	<b>16</b>	%

**Section D. Computation of Investment Income Percentage**

<b>17</b> Investment income percentage for <b>2008</b> (line 10c, column (f) divided by line 13, column (f)) . . . . .	<b>17</b>	%
<b>18</b> Investment income percentage from <b>2007</b> Schedule A, Part IV-A, line 27h . . . . .	<b>18</b>	%

**19a 33 1/3 % support tests—2008.** 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—2007.** 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 ▶



**Schedule B**  
**(Form 990, 990-EZ,**  
**or 990-PF)**

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

▶ **Attach to Form 990, 990-EZ, and 990-PF.**

OMB No. 1545-0047

**2008**

Name of the organization

Employer identification number

Organization type (check one):

**Filers of:**

**Section:**

Form 990 or 990-EZ

501(c)( ) (enter number) organization

4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

527 political organization

Form 990-PF

501(c)(3) exempt private foundation

4947(a)(1) nonexempt charitable trust treated as a private foundation

501(c)(3) taxable private foundation

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

**General Rule**

For organizations filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

**Special Rules**

For a section 501(c)(3) organization filing Form 990, or Form 990-EZ, that met the 33 1/3 % support test of the regulations under sections 509(a)(1)/170(b)(1)(A)(vi), and received from any one contributor, during the year, a contribution of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on Form 990, Part VIII, line 1h or 2% of the amount on Form 990-EZ, line 1. Complete Parts I and II.

For a section 501(c)(7), (8), or (10) organization filing Form 990, or Form 990-EZ, that received from any one contributor, during the year, aggregate contributions or bequests of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.

For a section 501(c)(7), (8), or (10) organization filing Form 990, or Form 990-EZ, that received from any one contributor, during the year, some contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not aggregate to more than \$1,000. (If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year.) . . . . . ▶ \$ .....

**Caution.** Organizations that are not covered by the General Rule and/or the Special Rules do not file Schedule B (Form 990, 990-EZ, or 990-PF), but they **must** answer "No" on Part IV, line 2 of their Form 990, or check the box in the heading of their Form 990-EZ, or on line 2 of their Form 990-PF, to certify that they do not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

<b>Name of organization</b>	<b>Employer identification number</b>
-----------------------------	---------------------------------------

**Part I Contributors** (see instructions)

(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
.....	..... ..... .....	\$ .....	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
.....	..... ..... .....	\$ .....	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
.....	..... ..... .....	\$ .....	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
.....	..... ..... .....	\$ .....	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
.....	..... ..... .....	\$ .....	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
.....	..... ..... .....	\$ .....	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
.....	..... ..... .....	\$ .....	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)

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

Department of the Treasury  
Internal Revenue Service

**Transactions With Interested Persons**

▶ Attach to Form 990 or Form 990-EZ.  
▶ To be completed by organizations that answered  
"Yes" on Form 990, Part IV, line 25a, 25b, 26, 27, 28a, 28b, or 28c,  
or Form 990-EZ, Part V, line 38a or 40b.

OMB No. 1545-0047

**2008**

**Open To Public Inspection**

Name of the organization

Employer identification number

**Part I Excess Benefit Transactions** (section 501(c)(3) and section 501(c)(4) organizations only).

To be completed by organizations that answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b.

1	(a) Name of disqualified person	(b) Description of transaction	(c) Corrected?	
			Yes	No

- 2 Enter the amount of tax imposed on the organization managers or disqualified persons during the year under section 4958 . . . . . ▶ \$ \_\_\_\_\_
- 3 Enter the amount of tax, if any, on line 2, above, reimbursed by the organization . . . . . ▶ \$ \_\_\_\_\_

**Part II Loans to and/or From Interested Persons.**

To be completed by organizations that answered "Yes" on Form 990, Part IV, line 26, or Form 990-EZ, Part V, line 38a.

(a) Name of interested person and purpose	(b) Loan to or from the organization?		(c) Original principal amount	(d) Balance due	(e) In default?		(f) Approved by board or committee?		(g) Written agreement?	
	To	From			Yes	No	Yes	No	Yes	No
<b>Total</b> . . . . . ▶				\$						

**Part III Grants or Assistance Benefitting Interested Persons.**

To be completed by organizations that answered "Yes" on Form 990, Part IV, line 27.

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of grant or type of assistance

**Part IV Business Transactions Involving Interested Persons.**

To be completed by organizations that answered "Yes" on Form 990, Part IV, line 28a, 28b, or 28c.

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of transaction	(d) Description of transaction	(e) Sharing of organization's revenues?	
				Yes	No

ATTACHMENT to 2008 Tax Return for CARTHA  
 EIN 20-5547610  
 Detail for Schedule L, Part II: Loans to and/or From Interested Persons

DATE	AMOUNT	PERSON(S)
2006 Total	\$ 11,096	Usha R. Balakrishnan
2007 Total	\$ 20,000	Usha R. Balakrishnan
<b>2008 Details:</b>		
<b>February 26, 2008</b>	<b>\$ 2,000</b>	Usha R. Balakrishnan
<b>December 31, 2008</b>	<b>(\$ 20,000)</b>	Donation by Ramji and Usha Balakrishnan
<b>GRAND TOTAL Outstanding Loan Amount</b>	<b>\$ 13,096</b>	

**➤ Responses to Part I, line 1; Part III, line 1 and line 4d**

*Tax-Exempt Purpose of CARTHA:* To provide a means of addressing complex global challenges in a way that more effectively improves the lives of the world's poor. A short summary of CARTHA is available at <http://www.cartha.org/carthadocs/CARTHASummary.pdf> and additional program information and details can be found on our website at [www.cartha.org](http://www.cartha.org).

Chronic global problems in health, education, and social welfare demand that thinkers and doers—in academic and practice communities from multiple disciplines and regions—be linked in new multisectoral collaborations to generate innovative, pragmatic, culturally appropriate and sustainable solutions. Those who design and build the bridges—to connect, activate, and leverage the stores of institutional resources, human capital, and scientific and technological prowess to advance global good—are CARTHA's Collaborative Doers.

Organization's Mission

Founded in 2006, CARTHA ("doer" in Sanskrit) is a 501(c)(3) nonprofit organization dedicated to **Cultivating Collaborative Doers**—bridging professionals who leverage academic-practitioner partnerships to enhance the positive impact of technological and social innovations. Focused on Academic-Public-Private Technology Transfer Partnerships, Global Health, Sustainability and Social Responsibility, CARTHA's educational activities (including but not limited to thought leadership dialogues, workshops, classes, seminars, symposiums, conferences, training programs, professional development, lectures, and curriculum development) are based on our C2G2<sup>SM</sup> Training Model: Building Collaborative Competence (C2) within Multisector Partnerships for Global Good (G2). CARTHA's programs inspire, connect, and mobilize resources for Collaborative Doers.

Reflecting the symbolism of CARTHA's logo (placing 55 dots and connecting them to produce an exquisite kolam with 108 embedded triangles), we have worked during our formative phase with 55 scientists, researchers, writers, entrepreneurs, and filmmakers from 9 countries in 5 continents to design and deliver our programs. In our first two years, 235 individuals contributed an estimated 6,500 hours to provide the intellectual input, as well as the physical and financial resources to define and address issues that affect Collaborative Doers. Because of creative partnering, we have managed to keep our out-of-pocket expenses very low. Our programs to date—designed and embedded into 8 conference panels, 5 public forums, and 9 seminars—have reached over 1,000 faculty, students, and professionals. Many fields employ some form of multisectoral collaboration, and professionals acquire the related technical (legal and business) competencies. CARTHA adds the social dimension by developing and providing complementary educational and training programs. We work with others to design programs that get embedded into regular university seminars and conferencing venues of professional societies, and reach large audiences. These techniques have enabled us to attract, identify, and cultivate Collaborative Doers who arise from various professional sectors and academic disciplines. We provide models for understanding, facilitating, and communicating the work of Collaborative Doers to create greater equity and reduce economic and social disparities in local and global settings.

We include below a few of our 2008 educational and thought leadership programs where several CARTHA-affiliated people met in person in addition to being usually linked up and feeling connected virtually via routine email communications. CARTHA's programs have been driven primarily by word-of-mouth referrals and networking by our growing base of volunteers, and the willingness of our program partners to team up with us in informal and formal ways. Given the nature of our mission to cultivate academic-practitioner networks of Collaborative Doers, we also include below interesting snippets simply to highlight how the identification and connection with Collaborative Doers from various regions, disciplines, and sectors is happening.

1. CARTHA founder Usha R. Balakrishnan organized panels and/or participated as a speaker at the following conferences and events. She was also joined by several other CARTHA volunteers, partners, and collaborators at these events:
  - ***Symposium at the Annual Meeting of the American Association for the Advancement of Science (AAAS), Boston (February 2008)***  
CARTHA Council of Advisors Jose Gomez-Marquez (from Massachusetts), Han S. Chiu (from San Diego), and Chris Hillier (now Board member from Scotland) joined the panel of speakers. (CARTHA Board member Yvonne Owuor was scheduled to participate as a speaker at this symposium, however, she was unable to undertake travel plans due to civil unrest that broke out in Kenya in late December 2007.) CARTHA Fellow Anu Swaminathan (from Connecticut) attended the event. About 25 people were in attendance.
  - ***Women in Academic Licensing Event, New York University (February 2008)***  
About 30 women professionals involved in the technology transfer field representing various universities and institutions in the New York area were in attendance.
  - ***Technology Managers for Global Health 5<sup>th</sup> annual meeting held in conjunction with the annual meeting of the Association of University Technology Managers, San Diego (February 2008)***  
CARTHA Council of Advisors Sandy Shotwell (from Oregon) and Han S. Chiu (from San Diego) spoke at this meeting. Attendees Carlos Lucena de Aguiar (from Brazil), Anu Idicula (from South Africa), and Steve Froggett (from Seattle) subsequently joined as CARTHA Council of Advisors. About 42 people were in attendance.
  - ***University of Iowa Global Health Studies Program Annual Conference (April 2008)***  
CARTHA Board member Charles A. Gardner was a plenary speaker with over 100 people in attendance, including a large number of University of Iowa students. During Usha Balakrishnan's presentation at a conference breakout session, CARTHA Board members George W. Krull and Charles Gardner also shared their perspectives as founding Board members of an entrepreneurial non-profit organization like CARTHA. At this session, there were about 30 people in attendance. During the occasion of Charles Gardner and George Krull's presence in Iowa City, the annual CARTHA Board meeting was held in CARTHA's offices. A reception was also held in their honor in the Balakrishnan residence. Several Iowa City-based CARTHA volunteers and collaborators from Iowa City attended this reception, including CARTHA Fellows Luke Juran and Svetha Swaminathan and Council of Advisors Raj Rajagopal and Andrew Willard.

EIN Number 20-5547610

Continuation Sheet to Schedule O of Form 990 Tax Return for 2008

- ***Iowa City Foreign Relations Council (April 2008)***

CARTHA Founder Usha Balakrishnan's luncheon keynote address was very well-received by over the 80 people in attendance. The presentation was broadcast live and also ran numerous times on a weekly basis in Iowa over the University of Iowa Public Access Channel for several months. The televised broadcast was also made accessible by the Iowa City Foreign Relations Council, see

[http://digital.lib.uiowa.edu/cdm4/item\\_viewer.php?CISOROOT=/icfr&CISOPTR=72&CISOBOX=1&REC=6](http://digital.lib.uiowa.edu/cdm4/item_viewer.php?CISOROOT=/icfr&CISOPTR=72&CISOBOX=1&REC=6). As a direct result of her presentation, Usha was invited to join the Program Committee (on which she is currently serving as a member). One of the attendees Robert S. Bar subsequently joined as CARTHA Council of Advisor.

- ***Society for International Science & Technology Policy Seminar, George Washington University, Washington DC (April 2008)***

One of the attendees at CARTHA's Symposium at AAAS 2008 in Boston was Chloe Feinberg, a student at George Washington University. As a follow-up, Chloe invited CARTHA Founder Usha Balakrishnan to present at her seminar group of 8 people.

- ***Health Technology Innovation Workshop, Recife, Brazil (November 2008)***

This First Health Technology Innovation Workshop was co-organized under the leadership of CARTHA Council of Advisor Carlos Lucena de Aguiar and his colleagues at Fiocruz in Recife, Brazil. Conference agenda can be accessed at <http://inovatecsaude.cpqam.fiocruz.br/foreing.html>. About 130 people were in attendance at this two-day Workshop sponsored by FIOCRUZ-Pernambuco and the Brazilian Health Ministry. The event brought together over 130 researchers and officials from health institutes, universities, biopharmaceutical companies, nonprofits and other stakeholder groups to stimulate new cooperation for the development of products for public health (e.g., vaccines and diagnostics for neglected diseases such as tuberculosis and malaria that afflict millions of poorer populations in developing countries). This Workshop resulted directly from Carlos Lucena's attendance at the 2008 TMGH meeting where Carlos first met Usha Balakrishnan. Their follow-on exploratory conversations led to the planning and organization of this Workshop where Carlos moderated the panel titled "Building Bridges for Health Technology Innovation: Technology Transfer and Collaborative Doers." This panel included CARTHA Board members Usha Balakrishnan and Tom Mercolino.

2. Four Fellows in Iowa became affiliated with CARTHA: Svetha Swaminathan; Luke Juran; Elizabeth Hoover de Galvez; and Burcu Esmer. CARTHA Fellows were invited to submit their annual report of activities including the areas where their affiliation with CARTHA has helped them make significant connections into academic-practitioner networks and Collaborative Doers who they would not have otherwise come in touch with. CARTHA plans to include the Fellows' annual progress reports on CARTHA's website.
3. To mark the Global Entrepreneurship Week 2008, CARTHA celebrated on November 18, 2008 with 30 students and faculty to feature the creative curricular programs designed and launched by CARTHA Council of Advisor Raj Rajagopal (Professor of Geography at the University of Iowa) whose Winterim Course in Tamil Nadu, India, has included several Fellows. CARTHA Ambassador Mark Sidel (ex-Board member) and CARTHA Fellows Svetha Swaminathan and Elizabeth Hoover de Galvez also attended this celebratory event.

EIN Number 20-5547610

Continuation Sheet to Schedule O of Form 990 Tax Return for 2008

4. CARTHA initiated the planning and design of a symposium “Public-Private Partnerships for Global Water-Access” which was accepted for the annual meeting of the American Association for the Advancement of Science to be held in Chicago on February 14, 2009.
5. CARTHA founder Usha R. Balakrishnan was nominated and elected to serve for a three-year term on the Community Foundations Leadership Team of the Council on Foundations. She continued her service in 2008 on the AAAS Committee on Scientific Freedom & Responsibility.
6. CARTHA founder was invited to speak about the organization’s mission and efforts in a meeting titled “Development of the action plan of the South-South Initiative strategic activities on research for neglected tropical diseases” at the Bellagio Rockefeller Study Center in Italy in mid-February 2009. The South-South Initiative for Tropical Diseases Research (SSI-TDR)—launched in 2001 and supported by UNICEF/UNDR/World Bank/World Health Organization Special program for research and training in tropical diseases (TDR)—is designed to facilitate sharing of resources and scientific expertise, and to promote interactions and research collaborations between investigators and institutions in Africa, Asia and Latin America.

➤ **Response to Part V, line 3 b**

CARTHA did not have any unrelated business income in 2008.

➤ **Response to Part VI, line 10**

The draft of Form 990 was prepared by CARTHA President & CEO and shared with CARTHA’s Audit Committee Chair in March 2008 with all the required background materials. For concurrent review and comments, the draft was then distributed via email to each of CARTHA’s governing Board of Directors. The Board members reviewed the Form 990 draft and commented on it over a 3-week period. After incorporation of all comments and changes received, the Form 990 draft was included as a specific agenda item for further comments, final review, and formal approval by the Board at the annual CARTHA Board of Directors meeting in April 2008. Subsequent to such approval to proceed with the filing of the Form 990, it was submitted to the IRS.

➤ **Response to Part VI, Section A, line 11**

Name/contact of CARTHA Board of Directors who cannot be directly reached at CARTHA's mailing address in Iowa. Each of the Board members is normally reached via their emails.

Name	Address
<b>D. Balasubramanian</b> Sep. 2006 – March 2010	Director of Research L. V. Prasad Eye Institute Road No. 2, Banjara Hills Hyderabad 500034, Andhra Pradesh, India
CARTHA Ambassador March 2010 – present	Email: dbala1939@yahoo.co.in
<b>Charles A. Gardner</b> Sep. 2006 – March 2010	Coordinator, Research & Programmes Unit Global Forum for Health Research c/o Ecumenical Centre/Centre Oecuménique, 1 <sup>st</sup> floor, Salève wing
CARTHA Ambassador March 2010 – present	1-5 route des Morillons PO Box 2100, 1211 Geneva 2, Switzerland
<b>George W. Krull</b> Sep. 2006 – Sep. 2010	Email: cgardner@ei.columbia.edu Chair, CARTHA Audit Committee Retired Partner, Grant Thornton LLP 26W334 Menomini Drive, Wheaton, Illinois 60187
<b>Thomas J. Mercolino</b> Mar. 2008 – Sep. 2010	Email: gwkrull@msn.com Vice President, Business Development Global Vaccines, Inc. 7020 Kit Creek Road, Suite 240 Research Triangle Park, NC 27709-4827
<b>Adhiambo Yvonne Owuor</b> Sep. 2006 – Sep. 2010	Email: tmercolino@globalvaccines.org Aga Khan University Diju Investments, P.O. Box 52224-00200, Nairobi, Kenya
<b>Chris Hillier</b> Sep. 2008 - Sep. 2010	Email: flame7tree@gmail.com Chris Hillier Chair of Physiology, School of Biological and Biomedical Sciences Glasgow Caledonian Univ., Glasgow, Scotland, United Kingdom, G4 0BA
<b>Mark Sidel</b> Sep. 2006 – Sep. 2008	Email: c.hillier@gcal.ac.uk Professor of Law University of Iowa College of Law 475 Boyd Law Building, Iowa City, IA 52242
CARTHA Ambassador Sep. 2008 - present	Email: mark-sidel@uiowa.edu

➤ **Response to Part VI, Section B, 12c**

The conflict of interest policy is distributed to each of CARTHA's Board members on an annual basis along with documents and other background materials pertinent to the annual Board meeting. During the annual Board meeting, we ensure that these conflict of interest policies have been reviewed with the Board members and they are understood from the viewpoint of strict adherence and assurance of compliance before they are signed. All signed conflict of interest policies are retained in the records held at CARTHA's office in Iowa City.

➤ **Response to Part VI, Section C, line 19**

CARTHA has posted its organizational information and policies and Form 990 Tax Returns at the publicly accessible spot on its website at <http://cartha.org/about/about.html>. Further work is currently being undertaken to include additional documents and timely updates on our website. Upon request by the public for hard copies of such documents, CARTHA will gladly make them available.