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 black lung benefit trust or private foundation)

▶ The organization may have to use a copy of this return to satisfy state reporting requirements.

OMB No. 1545-0047

2009

Open to Public Inspection

A For the 2009 calendar year, or tax year beginning January 1 **, 2009, and ending** December 31 **, 20** 09

B Check if applicable:
☐ Address change
☐ Name change
☐ Initial return
☐ Terminated
☐ Amended return
☐ Application pending

Please use IRS label or print or type. See Specific Instructions.

C Name of organization CARTHA
Doing Business As
Number and street (or P.O. box if mail is not delivered to street address) 33 Buchanan Court — Room/suite
City or town, state or country, and ZIP + 4 Iowa City, IA 52246

D Employer identification number 20 : 5547610
E Telephone number (319) 248-9625
G Gross receipts $ 18807

F Name and address of principal officer: Usha R. Balakrishnan
33 Buchanan Court, Iowa City, IA 52246

H(a) Is this a group return for affiliates? ☐ Yes ☑ No
H(b) Are all affiliates included? ☐ Yes ☐ No
If "No," attach a list. (see instructions)

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

J Website: ▶ www.cartha.org

H(c) Group exemption number ▶

K Form of organization: ☑ Corporation ☐ Trust ☐ Association ☐ Other ▶
L Year of formation: 2006
M State of legal domicile: IA

Part I Summary

Activities & Governance

1 Briefly describe the organization's mission or most significant activities: To advance global good, CARTHA cultivates academic-practitioner networks of Collaborative Doers. We design and organize educational activities (thought leadership dialogues and professional development programs) with a focus on global health, sustainability and social responsibility. Our bridging programs enhance the positive impact of technological and social innovations.

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	7
4	Number of independent voting members of the governing body (Part VI, line 1b)	4	7
5	Total number of employees (Part V, line 2a)	5	0
6	Total number of volunteers (estimate if necessary)	6	55
7a	Total gross unrelated business revenue from Part VIII, column (C), line 12	7a	0
b	Net unrelated business taxable income from Form 990-T, line 34	7b	0

			Prior Year	Current Year
Revenue	8	Contributions and grants (Part VIII, line 1h)	28815	14672
	9	Program service revenue (Part VIII, line 2g)	1860	4135
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)		
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)		
	12	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	30675	18807
Expenses	13	Grants and similar amounts paid (Part IX, column (A), lines 1–3)		
	14	Benefits paid to or for members (Part IX, column (A), line 4)		
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)		
	16a	Professional fundraising fees (Part IX, column (A), line 11e)		
	b	Total fundraising expenses (Part IX, column (D), line 25) ▶		
	17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24f)	10276	11388
	18	Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25)	10276	11388
	19	Revenue less expenses. Subtract line 18 from line 12	20399	7419
			Beginning of Current Year	**End of Year**
Net Assets or Fund Balances	20	Total assets (Part X, line 16)	5661	6572
	21	Total liabilities (Part X, line 26)	13604	7096
	22	Net assets or fund balances. Subtract line 21 from line 20	-7943	-524

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 April 13, 2010

▶ Founding President, CEO & Board Chair
Type or print name and title

Paid Preparer's Use Only

Preparer's signature ▶ | Date | Check if self-employed ▶ ☐ | Preparer's identifying number (see instructions)

Firm's name (or yours if self-employed), address, and ZIP + 4 ▶ | EIN ▶ | Phone no. ▶ ( )

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

Part III **Statement of Program Service Accomplishments**

1 Briefly describe the organization's mission:
CARTHA's mission is to train, build, and empower academic-practitioner networks of Collaborative Doers. CARTHA's educational programs are based on our "C2G2" Training Model to build Collaborative Competence within Multisector Partnerships for Global Good. CARTHA thus provides a means of addressing global challenges in a way that more effectively improves the lives of the world's poor. Additional details provided in Schedule O.

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? . . . ☐ Yes ☑ 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 exempt purpose achievements for each of the organization's three largest program services by expenses. Section 501(c)(3) and 501(c)(4) organizations and section 4947(a)(1) trusts 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: India Wint.) (Expenses $ 3919 including grants of $) (Revenue $ 0)
CARTHA celebrated— with over 40 students, faculty, and community members, to coincide with the visit by several officials of the Sehgal Foundation in March 2009—their participation in the creative curricular programs designed and launched by CARTHA Ambassador Raj Rajagopal (Professor of Geography at the University of Iowa). CARTHA continues to host networking events at the founder's home as well as sponsor seminar presentations by students and give students the chance to share their experiences at the Iowa City Noon Rotary Club. With the help of Rajagopal, CARTHA was successful in raising funds to support students participating in these Winterim India programs which have gained both popularity and prominence, see http://www.uiowa.edu/~geog/india/. We continue to support students in this program with modest travel reimbursements. CARTHA also provided travel support for a doctoral student's data gathering pursuits in Madurai and Chennai for the topic "Socioeconomic, Cultural, and Demographic Factors Important in the Development of Effective Cervical Cancer Screening Programs in Tamil Nadu" and reviewed the nature and outcome of these activities with CARTHA Board member Joan Sieber.

4b (Code: TMGH) (Expenses $ 2690 including grants of $) (Revenue $ 2001)
(1) CARTHA organized and co-chaired (along with CARTHA Board member Tom Mercolino) the 2009 annual meeting o the Technology Managers for Global Health in Orlando (www.tmgh.org) which is held in conjunction with the Annual Meeting of the Association of University Technology Managers. (2) At the invitation of the World Health Organization--specifically the South-South Initiative SSI-TDR that promotes interactions between tropical disease researchers across Latin America, Africa, and Asia--CARTHA founder made a presentation at a meeting held in Feb09 at the Bellagio Rockefeller Study Center in Italy. CARTHA continues to work with prospective collaborators identified at this meeting.

(3) At the invitation of the Univ. of California-Santa Barbara (Center for Nanotechnology and Society), CARTHA founder participated at the Emerging (Nano)Technologies and Global Development conference held at the Woodrow Wilson Institute for International Scholars in Washington DC in November 2009.

4c (Code: CFLT) (Expenses $ 2177 including grants of $) (Revenue $ 2005)
CARTHA founder (because of her volunteer service on the Board of Directors of the Community Foundation of Johnson County-Iowa) was elected to serve on the Community Foundations Leadership Team for the Council on Foundations. The travel expenses and travel-related reimbursements to CARTHA directly relate to her participation in periodic meetings of the Community Foundations Leadership Team.

4d Other program services. (Describe in Schedule O.)
(Expenses $ 1002 including grants of $) (Revenue $ 1002)

4e **Total program service expenses ▶** 9788

Part IV **Checklist of Required Schedules**

		Line	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	✔	
2	Is the organization required to complete Schedule B, Schedule of Contributors?	2	✔	
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		✔
4	**Section 501(c)(3) organizations.** Did the organization engage in lobbying activities? *If "Yes," complete Schedule C, Part II*	4		✔
5	**Section 501(c)(4), 501(c)(5), and 501(c)(6) organizations.** Is the organization subject to the section 6033(e) notice and reporting requirement and proxy tax? *If "Yes," complete Schedule C, Part III*	5		✔
6	Did the organization maintain any donor advised funds or any similar funds or accounts where 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		✔
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		✔
8	Did the organization maintain collections of works of art, historical treasures, or other similar assets? *If "Yes," complete Schedule D, Part III*	8		✔
9	Did the organization report an amount in Part X, line 21; 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		✔
10	Did the organization, directly or through a related organization, hold assets in term, permanent, or quasi-endowments? *If "Yes," complete Schedule D, Part V*	10		✔
11	Is the organization's answer to any of the following questions "Yes"? *If so, complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable*	11		✔
	• Did the organization report an amount for land, buildings, and equipment in Part X, line 10? *If "Yes," complete Schedule D, Part VI.*			
	• 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.*			
	• 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.*			
	• 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.*			
	• Did the organization report an amount for other liabilities in Part X, line 25? *If "Yes," complete Schedule D, Part X.*			
	• 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? *If "Yes," complete Schedule D, Part X.*			
12	Did the organization obtain separate, independent audited financial statements for the tax year? *If "Yes," complete Schedule D, Parts XI, XII, and XIII.*	12		✔
12A	Was the organization included in consolidated, independent audited financial statements for the tax year? *If "Yes," completing Schedule D, Parts XI, XII, and XIII is optional.* — 12A Yes: ; No: ✔			
13	Is the organization a school described in section 170(b)(1)(A)(ii)? *If "Yes," complete Schedule E*	13		✔
14a	Did the organization maintain an office, employees, or agents outside of the United States?	14a		✔
b	Did the organization have aggregate revenues or expenses of more than $10,000 from grantmaking, fundraising, business, and program service activities outside the United States? *If "Yes," complete Schedule F, Part I*	14b		✔
15	Did the organization report on Part IX, column (A), line 3, more than $5,000 of grants or assistance to any organization or entity located outside the United States? *If "Yes," complete Schedule F, Part II.*	15		✔
16	Did the organization report on Part IX, column (A), line 3, more than $5,000 of aggregate grants or assistance to individuals located outside the United States? *If "Yes," complete Schedule F, Part III*	16		✔
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*	17		✔
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		✔
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		✔
20	Did the organization operate one or more hospitals? *If "Yes," complete Schedule H*	20		✔

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

			Yes	No
21	Did the organization report more than $5,000 of grants and other assistance to governments and organizations in the United States on Part IX, column (A), line 1? *If "Yes," complete Schedule I, Parts I and II.*	21		✔
22	Did the organization report more than $5,000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? *If "Yes," complete Schedule I, Parts I and III*	22		✔
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		✔
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 25.*	24a		✔
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) and 501(c)(4) 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		✔
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		✔
26	Was a loan to or by a current or former officer, director, trustee, key employee, highly compensated employee, or disqualified person outstanding as of the end of the organization's tax year? *If "Yes," complete Schedule L, Part II*	26	✔	
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor, or a grant selection committee member, or to a person related to such an individual? *If "Yes," complete Schedule L, Part III*	27		✔
28	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):			
a	A current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	28a		✔
b	A family member of a current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	28b		✔
c	An entity of which a current or former officer, director, trustee, or key employee of the organization (or a family member) was an officer, director, trustee, or direct or indirect owner? *If "Yes," complete Schedule L, Part IV*	28c		✔
29	Did the organization receive more than $25,000 in non-cash contributions? *If "Yes," complete Schedule M*	29		✔
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M*	30		✔
31	Did the organization liquidate, terminate, or dissolve and cease operations? *If "Yes," complete Schedule N, Part I*	31		✔
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		✔
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		✔
34	Was the organization related to any tax-exempt or taxable entity? *If "Yes," complete Schedule R, Parts II, III, IV, and V, line 1*	34		✔
35	Is any related organization a controlled entity within the meaning of section 512(b)(13)? *If "Yes," complete Schedule R, Part V, line 2*	35		✔
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		✔
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		✔
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11 and 19? **Note.** All Form 990 filers are required to complete Schedule O.	38	✔	

Part V Statements Regarding Other IRS Filings and Tax Compliance

			Yes	No
1a	Enter the number reported in Box 3 of Form 1096, Annual Summary and Transmittal of U.S. Information Returns. Enter -0- if not applicable 1a 0			
b	Enter the number of Forms W-2G included in 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		✔
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 0			
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns?	2b		
	Note. If the sum of lines 1a and 2a is greater than 250, you may be required to *e-file* this return. (see instructions)			
3a	Did the organization have unrelated business gross income of $1,000 or more during the year covered by this return?	3a		✔
b	If "Yes," has it filed a Form 990-T for this year? *If "No," provide an explanation in Schedule O*	3b		
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		✔
b	If "Yes," enter the name of the foreign country: ▶ See the instructions for exceptions and filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts.			
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5a		✔
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b		✔
c	If "Yes" to line 5a or 5b, did the organization file Form 8886-T, Disclosure by Tax-Exempt Entity Regarding Prohibited Tax Shelter Transaction?	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?	6a		✔
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		
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b		
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	7c		
d	If "Yes," indicate the number of Forms 8282 filed during the year 7d			
e	Did the organization, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	7e		
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f		
g	For all contributions of qualified intellectual property, did the organization file Form 8899 as required?	7g		
h	For contributions of cars, boats, airplanes, and other vehicles, did the organization file a Form 1098-C as required?	7h		
8	**Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.** Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?	8		
9	**Sponsoring organizations maintaining donor advised funds.**			
a	Did the organization make any taxable distributions under section 4966?	9a		
b	Did the 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			

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

Section A. Governing Body and Management

			Yes	No
1a	Enter the number of voting members of the governing body	1a 7		
b	Enter the number of voting members that are independent	1b 7		
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		✔
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		✔
4	Did the organization make any significant changes to its organizational documents since the prior Form 990 was filed?	4		✔
5	Did the organization become aware during the year of a material diversion of the organization's assets?	5		✔
6	Does the organization have members or stockholders?	6		✔
7a	Does the organization have members, stockholders, or other persons who may elect one or more members of the governing body?	7a		✔
b	Are any decisions of the governing body subject to approval by members, stockholders, or other persons?	7b		✔
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:			
a	The governing body?	8a	✔	
b	Each committee with authority to act on behalf of the governing body?	8b	✔	
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*	9a		

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

			Yes	No
10a	Does the organization have local chapters, branches, or affiliates?	10a		✔
b	If "Yes," does the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with those of the organization?	10b		
11	Has the organization provided a copy of this Form 990 to all members of its governing body before filing the form?	11	✔	
11A	Describe in Schedule O the process, if any, used by the organization to review this Form 990.			
12a	Does the organization have a written conflict of interest policy? *If "No," go to line 13*	12a	✔	
b	Are officers, directors or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	12b	✔	
c	Does the organization regularly and consistently monitor and enforce compliance with the policy? *If "Yes," describe in Schedule O how this is done*	12c	✔	
13	Does the organization have a written whistleblower policy?	13	✔	
14	Does the organization have a written document retention and destruction policy?	14	✔	
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	✔	
b	Other officers or key employees of the organization	15b	✔	
	If "Yes" to line 15a or 15b, describe the process in 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		✔
b	If "Yes," has the organization adopted a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and taken 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 ▶ Iowa

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

☑ Own website ☐ Another's website ☑ Upon request

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

20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization: ▶ Usha R. Balakrishnan, 33 Buchanan Court, Iowa City, IA 52246, 319-248-9625

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

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. Use Schedule J-2 if additional space is needed.

- 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. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than $100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than $100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than $10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

☑ Check this box if the organization did not compensate any current officer, director, or trustee.

(A) Name and Title	(B) Average hours per week	(C) Position (check all that apply): Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former	(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations

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

(A) Name and title	(B) Average hours per week	(C) Position (check all that apply): Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former	(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
1b Total ▶										

2 Total number of individuals (including but not limited to those listed above) who received more than $100,000 in reportable compensation from the organization ▶ 0

		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		✔
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		✔
5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization for services rendered to the organization? *If "Yes," complete Schedule J for such person*	5		✔

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.

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

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

Part VIII Statement of Revenue

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512, 513, or 514
Contributions, gifts, grants and other similar amounts	1a Federated campaigns	1a				
	b Membership dues	1b				
	c Fundraising events	1c				
	d Related organizations	1d				
	e Government grants (contributions)	1e				
	f All other contributions, gifts, grants, and similar amounts not included above	1f 14672				
	g Noncash contributions included in lines 1a-1f: $ 872					
	h **Total.** Add lines 1a–1f ▶		14672			
Program Service Revenue		Business Code				
	2a					
	b					
	c					
	d					
	e					
	f All other program service revenue		4135	4135		
	g **Total.** Add lines 2a–2f ▶		4135			
Other Revenue	3 Investment income (including dividends, interest, and other similar amounts) ▶					
	4 Income from investment of tax-exempt bond proceeds ▶					
	5 Royalties ▶					
		(i) Real / (ii) Personal				
	6a Gross Rents					
	b Less: rental expenses					
	c Rental income or (loss)					
	d Net rental income or (loss) ▶					
		(i) Securities / (ii) Other				
	7a Gross amount from sales of assets other than inventory					
	b Less: cost or other basis and sales expenses					
	c Gain or (loss)					
	d Net gain or (loss) ▶					
	8a Gross income from fundraising events (not including $ ______ of contributions reported on line 1c). See Part IV, line 18	a				
	b Less: direct expenses	b				
	c Net income or (loss) from fundraising events ▶					
	9a Gross income from gaming activities. See Part IV, line 19	a				
	b Less: direct expenses	b				
	c Net income or (loss) from gaming activities ▶					
	10a Gross sales of inventory, less returns and allowances	a				
	b Less: cost of goods sold	b				
	c Net income or (loss) from sales of inventory ▶					
	Miscellaneous Revenue	Business Code				
	11a					
	b					
	c					
	d All other revenue					
	e **Total.** Add lines 11a–11d ▶					
	12 **Total revenue.** See instructions. ▶		18807	4135		

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) but are not required to complete columns (B), (C), and (D).

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 governments and organizations in the U.S. See Part IV, line 21				
2 Grants and other assistance to individuals in the U.S. See Part IV, line 22				
3 Grants and other assistance to governments, organizations, and individuals outside the U.S. See Part IV, lines 15 and 16				
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees				
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				
8 Pension plan contributions (include section 401(k) and section 403(b) employer contributions)				
9 Other employee benefits				
10 Payroll taxes				
11 Fees for services (non-employees):				
a Management				
b Legal				
c Accounting	105	0	105	
d Lobbying				
e Professional fundraising services. See Part IV, line 17				
f Investment management fees				
g Other				
12 Advertising and promotion				
13 Office expenses	1498	233	1265	
14 Information technology				
15 Royalties				
16 Occupancy				
17 Travel	8009	7855	154	
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings	1773	1697	76	
20 Interest				
21 Payments to affiliates				
22 Depreciation, depletion, and amortization				
23 Insurance				
24 Other expenses. Itemize expenses not covered above. (Expenses grouped together and labeled miscellaneous may not exceed 5% of total expenses shown on line 25 below.)				
a Bank Service Charges	3	3	0	
b				
c				
d				
e				
f All other expenses				
25 **Total functional expenses.** Add lines 1 through 24f	11388	9788	1600	
26 **Joint costs.** Check here ► ☐ if following SOP 98-2. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation				

Part X Balance Sheet

			(A) Beginning of year		(B) End of year
Assets	1	Cash—non-interest-bearing	5661	1	6572
	2	Savings and temporary cash investments		2	
	3	Pledges and grants receivable, net		3	
	4	Accounts receivable, net		4	
	5	Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L		5	
	6	Receivables from other disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B). Complete Part II of Schedule L		6	
	7	Notes and loans receivable, net		7	
	8	Inventories for sale or use		8	
	9	Prepaid expenses and deferred charges		9	
	10a	Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D — 10a			
	b	Less: accumulated depreciation — 10b		10c	
	11	Investments—publicly traded securities		11	
	12	Investments—other securities. See Part IV, line 11		12	
	13	Investments—program-related. See Part IV, line 11		13	
	14	Intangible assets		14	
	15	Other assets. See Part IV, line 11		15	
	16	**Total assets.** Add lines 1 through 15 (must equal line 34)	5661	16	6572
Liabilities	17	Accounts payable and accrued expenses	508	17	
	18	Grants payable		18	
	19	Deferred revenue		19	
	20	Tax-exempt bond liabilities		20	
	21	Escrow or custodial account liability. Complete Part IV of Schedule D		21	
	22	Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L	13096	22	7096
	23	Secured mortgages and notes payable to unrelated third parties		23	
	24	Unsecured notes and loans payable to unrelated third parties		24	
	25	Other liabilities. Complete Part X of Schedule D		25	
	26	**Total liabilities.** Add lines 17 through 25	13604	26	7096
Net Assets or Fund Balances		**Organizations that follow SFAS 117, check here ▶ ☐ and complete lines 27 through 29, and lines 33 and 34.**			
	27	Unrestricted net assets		27	
	28	Temporarily restricted net assets		28	
	29	Permanently restricted net assets		29	
		Organizations that do not follow SFAS 117, check here ▶ ☐ and complete lines 30 through 34.			
	30	Capital stock or trust principal, or current funds		30	
	31	Paid-in or capital surplus, or land, building, or equipment fund		31	
	32	Retained earnings, endowment, accumulated income, or other funds		32	
	33	Total net assets or fund balances		33	
	34	Total liabilities and net assets/fund balances	-7943	34	-524

Part XI Financial Statements and Reporting

			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 in Schedule O.			
2a	Were the organization's financial statements compiled or reviewed by an independent accountant? . .	2a		✔
b	Were the organization's financial statements audited by an independent accountant?	2b		✔
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		
	If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.			
d	If "Yes" to line 2a or 2b, check a box below to indicate whether the financial statements for the year were issued on a consolidated basis, separate basis, or both: ☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis			
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		✔
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		

SCHEDULE A (Form 990 or 990-EZ)

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. ▶ See separate instructions.

OMB No. 1545-0047

2009

Open to Public Inspection

Name of the organization	Employer identification number
CARTHA	20 5547610

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 11, 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.)

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 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).**

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?

		Yes	No
(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?	11g(i)		
(ii) A family member of a person described in (i) above?	11g(ii)		
(iii) A 35% controlled entity of a person described in (i) or (ii) above?	11g(iii)		

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

(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	
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.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2005	(b) 2006	(c) 2007	(d) 2008	(e) 2009	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")		3000	170	28997	14672	46839
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		3000	170	28997	14672	46839
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)						
6 **Public support.** Subtract line 5 from line 4.						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2005	(b) 2006	(c) 2007	(d) 2008	(e) 2009	(f) Total
7 Amounts from line 4		3000	170	28997	14672	46839
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
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 IV.)						
11 **Total support.** Add lines 7 through 10						46839

12 Gross receipts from related activities, etc. (see instructions) . . . 12

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

Section C. Computation of Public Support Percentage

14 Public support percentage for 2009 (line 6, column (f) divided by line 11, column (f)) . . . 14 %

15 Public support percentage from 2008 Schedule A, Part II, line 14 . . . 15 %

16a **33⅓ % support test—2009.** If the organization did not check the box on line 13, and line 14 is 33⅓ % or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

b **33⅓ % support test—2008.** If the organization did not check a box on line 13 or 16a, and line 15 is 33⅓ % or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

17a **10%-facts-and-circumstances test—2009.** 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 IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization ▶ ☐

b **10%-facts-and-circumstances test—2008.** 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 IV 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 ▶ ☐

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, or 990-PF.**

OMB No. 1545-0047

2009

Name of the organization	**Employer identification number**
CARTHA	20 : 5547610

Organization type (check one):

Filers of:	**Section:**
Form 990 or 990-EZ	☑ 501(c)(3) (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	☐ 527 political organization
Form 990-PF	☐ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

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

General Rule

☑ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, $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 990-EZ that met the 33⅓% support test of the regulations under sections 509(a)(1) and 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 (i) Form 990, Part VIII, line 1h or (ii) Form 990-EZ, line 1. Complete Parts I and II.

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, aggregate contributions 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 990-EZ that received from any one contributor, during the year, 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. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2 of its Form 990, or check the box on line H of its Form 990-EZ, or on line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization	Employer identification number

Part I **Contributors** (see instructions)

(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	Ramji and Usha Balakrishnan 33 Buchanan Court Iowa City, IA 52246	$ 6000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
2	Devasena Gnanashanmugam 223 Kirkwood Drive Chapel Hill, NC 27514	$ 5000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		$	Person ☐ Payroll ☐ Noncash ☐ (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

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

OMB No. 1545-0047
2009
Open To Public Inspection

Name of the organization: CARTHA

Employer identification number: 20 : 5547610

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

Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b.

1 (a) Name of disqualified person	(b) 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.

Complete if the organization 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
Usha R. Balakrishnan, Founder			13096	7096						
[Note: Copy of Loan Agreement										
is provided in Schedule O]										
Total . . . ▶ $				7096						

Part III Grants or Assistance Benefiting Interested Persons.

Complete if the organization answered "Yes" on Form 990, Part IV, line 27.

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

Part IV Business Transactions Involving Interested Persons.

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

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

CARTHA

February 25, 2010

Dr. Ramji Balakrishnan
Ms. Usha Balakrishnan
33 Buchanan Court
Iowa City, IA 52246

Dear Ramji and Usha:

Re: Acknowledgment and appreciation for your donation to CARTHA

I write to you today to convey our thanks and appreciation on behalf of the entire CARTHA Board of Directors for your donation to CARTHA of Six Thousand Dollars ($6,000).

As discussed, we are using your donation of $6,000 to reduce CARTHA's loan owed to you. CARTHA's outstanding loan amount now stands reduced from $13,096.30 (as of January 1, 2009) to $7,096.30 (as of December 31, 2009).

This note will serve as a receipt for your contribution which is tax-deductible under US IRS Tax Code. As you know, CARTHA is a 501c3 tax-exempt nonprofit organization and our Federal Tax ID is 20-5547610. Your contribution helps advance CARTHA's mission and provides support to CARTHA's ongoing activities and programs.

Thanks and best wishes.

Sincerely,

George W. Krull, Jr.

George W. Krull, Ph.D.
Board Member & Audit Committee Chair
CARTHA Board of Directors

Enclosure

ATTACHMENT to 2009 Tax Return for CARTHA
EIN 20-5547610
Detail for Schedule L, Part II: Loans to and/or From Interested Persons

DATE	AMOUNT	PERSON(S)
2008 Total	$ 13,096	Usha R. Balakrishnan
December 31, 2009	**($ 6,000)**	**Donation by Ramji and Usha Balakrishnan**
GRAND TOTAL Outstanding Loan Amount	**$ 7096**	

SCHEDULE O
(Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990

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

▶ Attach to Form 990.

OMB No. 1545-0047

2009

Open to Public Inspection

Name of the organization	Employer identification number
CARTHA	20 5547610

Please see attached

CARTHA

EIN Number 20-5547610

Continuation Sheet to Schedule O of Form 990 Tax Return for 2009

- **Responses to Part I, line 1 & Part III, line 1 and line 4d**

WHO IS CARTHA?

CARTHA (*doer* in Sanskrit) is a 501(c)(3) nonprofit organization founded in 2006. We are an all-volunteer team of inspired scientists, researchers, filmmakers, writers, other professionals and public citizens with the mission of *Cultivating Collaborative Doers*. A short summary of CARTHA, our programs and additional details can be found on our website at www.cartha.org.

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. Focused on Global Health, Sustainability and Social Responsibility, CARTHA designs, develops, organizes and/or sponsors educational activities (including but not limited to thought leadership dialogues, workshops, classes, seminars, symposiums, conferences, training programs, professional development, lectures, and curriculum development).

WHAT DOES CARTHA DO?

- Connect scholars and scientists from around the world with cultural translators to enhance humanitarian goals.
- Identify and empower bridging professionals who can strengthen the positive impacts of innovations.
- Develop integrated curricular models and inspiring case studies on academic-public-private partnerships and research translation in **Global Health, Sustainability, and Social Responsibility.**
- **Glocalize**™ networks of Collaborative Doers across disciplines, sectors and cultures, thereby impacting local communities in multiple regions.

HOW DO WE DO WHAT WE DO?

We build **C**ollaborative **C**ompetence in Multisector Partnerships for **G**lobal **G**ood (**C2G2**℠ **training model**). We partner with professional societies and campuses to organize/sponsor conferences, public forums, and seminars reaching faculty, students, and professionals. Reflecting our **human-centered** approach, each of our programs is designed as follows:

- Contextualized and customized to embed and enable local visions, local talents, and local needs.
- Structured to emphasize the social dimensions that influence and affect the human collaborative spirit.
- Formulated with participation from and involvement by younger generations of Collaborative Doers.

We activate and mobilize resources to support academic-practitioner networks of Collaborative Doers.

ACCOMPLISHMENTS SINCE OUR INCEPTION IN 2006

Since our inception, over 400 individuals have contributed an estimated 10,000 hours to provide the intellectual input, as well as the physical and financial resources to define and address issues that affect Collaborative Doers. At any given time, we try to maintain an active network of 55 volunteers who reflect the symbolism behind our CARTHA logo (i.e., placing 55 dots and connecting them in particular ways to produce an exquisite kolam).

Due to our limited financial resources, we do not spend monies on publicity and marketing expenses to promote our own organization. However, our partners have included CARTHA and our collaborative programs in their news releases and reports. Several of these items are now included on CARTHA's website, see http://cartha.org/news/index.htm.

Working with an all-volunteer team of over 80 scientists, researchers, writers, entrepreneurs, and filmmakers from 11 countries in 5 continents, we designed and delivered our programs as 9 conference panels, 6 public forums, and 22 seminars and events reaching over 1,600 faculty, students, and professionals.

Our new program development has occurred in an organic manner parallel to our growing network of volunteers and their aspirational goals to make the world a better place.

For example, ***Global Health through the Lens of Water***™ is a new CARTHA initiative being launched in 2010 with partners. The conception of our new initiative (in 2009) with CARTHA volunteers follows our pattern of collaborative doing and arises directly from our insights gained from the following series of seminars and symposia:

- Ottawa (Nov2006: ACCT-Alliance for the Commercialization of Canadian Technology)
Panel: Technology Transfer: Making a Local and Global Difference
- San Francisco, San Diego, Orlando, New Orleans (2007-2010: Technology Managers for Global Health at annual meeting of AUTM-Association of University Technology Managers)
- Monterrey (Oct2007: Universal Forum of Cultures-Panel at Health Week held in Mexico)
- Boston (Feb2008: Annual meeting of American Association for the Advancement of Science)
Symposium: Humanity at the Nexus-Academic Partnerships & Entrepreneurship in Global Health
- Recife (Nov2008: Health Technology Innovations Workshop sponsored by FIOCRUZ-Pernambuco, Brazil)
- Chicago (Feb2009: Annual meeting of Amer. Assoc. for the Advancement of Science)
Panel: Thirsting for Daily Sustenance: Public-Private Partnerships for Global Water Access
- Bellagio Rockefeller Study Centre, Italy (Feb. 2009: Mtg. of South-South Initiative of WHO-TDR)
- Chennai (May2009: Seminar at Indian Institute of Technology-Madras)
CARTHA Fellow & Rotary Ambassador Scholar Luke Juran on post-tsunami resettlement districts in Tamil Nadu and issues re housing, water, sanitation for displaced populations

STATEMENT OF PROGRAM SERVICE ACCOMPLISHMENTS IN 2009

We include below a few of our 2009 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.

Special developments in 2009

Two people who stumbled upon CARTHA's website at separate times have stunningly become passionate volunteers and donors to our organization. Their participation in CARTHA's work is especially extending our meaning, presence, and vision in the hearts, minds, and voices of the wider publics. Such active engagement by members of the public helps empower as well as shape the work of CARTHA in very special ways that would not simply be made possible by CARTHA's own outreach mechanisms. We therefore feel extremely fortunate to have this sort of input and infusion at a critical time during our developmental phases.

- **Cartha Alene Mahoney** first came upon our website in December 2008 since her first name matches the spelling of our organization. This prompted her to call CARTHA and subsequently visit CARTHA's founder in Iowa City twice in 2009. Because she now is a retiree residing in Florida, CARTHA is now poised to launch programs in partnership with individuals and organizations in Sarasota.
- **Devasena Gnanashanmugam** of North Carolina first came upon our website in August 2009 and called CARTHA because of her impression that the organization was looking at the prospect of bringing together partners to work to resolve chronic problems (e.g., global health) in a novel way. Given her own background training as a pediatric infectious diseases specialist, Devasena envisioned a new volunteer role for herself as medical director of curriculum development for a new initiative called

"Global Health through the Lens of Water." Devasena visited Iowa City on December 3-4, 2009 and met with several CARTHA collaborators to further develop this new initiative. Our initiative aims to produce a series of thought leadership dialogues and programs that represent innovative models for global health literacy education. One of the objectives of this initiative is to design, develop, and deliver curricula to medical students, residents, and professionals on water-borne illnesses. We will produce new models and programs for Collaborative Doers by drawing in "glocalized" case study experiences from literature, media, science, medicine, and public health that address the following themes:

- o How does water drive the factors that affect human health, globally?
- o How does water (and its effects on human health) bring together cross-sector partnerships involving a range of professionals and academics who wish to advance global health causes?
- o How do we define and shape professionalism in such contexts? How is professionalism maintained by the academics and practitioners working in these global health causes?
- o What is the role of research and universities in developing, managing, and leveraging technological and social innovations to address water shortage and water/waste overabundance issues?

Publications affirming the rationale for CARTHA's founding

- **A thought piece about CARTHA's founding rationale published in November 2009 in the Global Forum for Health Research Update:** In 2009, CARTHA founder Usha R. Balakrishnan was invited to write a paper—one among 30 papers invited worldwide in 2009 by the Global Forum for Health Research in Geneva, Switzerland. Titled "Healthful Academic Translations: Cultivating Collaborative Doers as Innovation Managers for Societal Well-Being" this paper (paper accessible at www.cartha.org/UshaPaper-GFHR2009/) was published in the Global Forum for Health Research Update, Volume 6, Page 66-71, CARTHA Ambassador Charles A. Gardner was instrumental in opening this platform for CARTHA's vision and work to be shared among a worldwide audience participating in the 2009 GFHR annual conference "Innovating for the Health of All" in Havana, Cuba, see www.globalforumhealth.org. We continue to receive feedback about this paper that is allowing us to shape our 2010 initiatives.
- **CARTHA Fellow Ajailiu ("Ajai") Niumai graciously acknowledged her affiliation with CARTHA in her papers published in 2009**: In her paper titled "Philanthropy and Indian Diaspora in the 21st Century" presented at the AHRC/CRONEM (Centre for Research on Nationalism, Ethnicity and Multiculturalism) Conference 2009 at the University of Surrey, UK, see http://www.surrey.ac.uk/Arts/CRONEM/cronem-ahrc-conference-09/index.htm Ajai mentions her association with CARTHA since 2006 that prompted her research interests in these topics. Ajai also mentions CARTHA in a similar manner in her article titled "Indian Diaspora Philanthropy: A Sociological Perspective" which was published in *Man in India* (a journal in South Africa) in March 2009. Indeed, CARTHA's new initiative "Diaspora Philanthropists as Collaborative Doers" is being shaped with academics like Ajai, CARTHA Ambassador Mark Sidel, and advisors Erica Bornstein and Meena Khandelwal.

Volunteer roles on behalf of other organizations to partner with broader constituencies

- **CARTHA founder continues to serve in a volunteer role on:**
  - o Community Foundation of Johnson County Board of Directors
  - o Iowa City Foreign Relations Council Program Committee
  - o Community Foundations Leadership Team of the Council on Foundations

Conferences, Outreach, and Speaking Engagements

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), Chicago (February 14, 2009) titled "Thirsting for Daily Sustenance: Public-Private Partnerships for Global Water-Access"**: Raj Rajaram (from Chicago), Jay Sehgal (from Des Moines), Craig Just (from Iowa City), and Rich Thorsten (from Kansas City) joined the panel of speakers. About 30 people were in attendance. The session became a feature on multiple websites, program brochures, blogs, and news releases.
- **Technology Managers for Global Health 6th annual meeting held in conjunction with the annual meeting of the Association of University Technology Managers, Orlando (February 12, 2009):** CARTHA founder and Tom Mercolino (CARTHA Board Member from North Carolina) served as the co-chairs. Several presenters shared their perspectives about their work in the field. Agenda (along with the names of speakers and their affiliation) is posted at www.tmgh.org. About 25 people were in attendance. One of the attendees Kevin McCabe (an attorney from Washington DC) agreed to serve as co-chair of the TMGH 2010 annual meeting in New Orleans.
- **Week-long meeting of the South-South Initiative for Tropical Diseases Research (SSI-TDR) hosted by the World Health Organization at the Bellagio Rockefeller Study Center in Italy (February 2009)**: Based on CARTHA founder's presentation in Recife, Brazil in November 2008, she was invited by Professor Rodrigo Correa Oliveira and Professor Bianca Zingales to speak about CARTHA's efforts at this meeting which had 23 participants, see details at www.ssi-tdr.net/images/bellagio/index.htm. The South-South Initiative—launched in 2001 and supported by UNICEF/UNDR/World Bank/World Health Organization Special program for research and training in tropical diseases (TDR)—facilitates sharing of resources and scientific expertise, and promotes collaborations between investigators and institutions in Africa, Asia and Latin America. CARTHA continues to work with scientists identified at this meeting as prospective collaborators.
- **Winterim India Program Events and Receptions:** We celebrated— with over 40 students, faculty, and community members, to coincide with the visit by several officials of the Sehgal Foundation in March 2009—their participation in the creative curricular programs designed and launched by CARTHA Ambassador Raj Rajagopal (Professor of Geography at the University of Iowa). CARTHA continues to host networking events at the founder's home as well as sponsor seminar presentations by students and give students the chance to share their experiences at the Iowa City Noon Rotary Club. With the help of Rajagopal, CARTHA was successful in raising funds to support students participating in these Winterim India programs which have gained both popularity and prominence, see http://www.uiowa.edu/~geog/india/. We continue to support students in this program with modest travel reimbursements. CARTHA also provided travel support for a doctoral student's data gathering pursuits in Madurai and Chennai for the topic "Socioeconomic, Cultural, and Demographic Factors Important in the Development of Effective Cervical Cancer Screening Programs in Tamil Nadu, India."
- **Emerging Technologies/Emerging Economies: (Nano)technology for Equitable Development Conference at the Woodrow Wilson Institute for International Scholars in Washington DC in November 2009**: At the invitation of University of California-Santa Barbara's Center for Nanotechnology (Richard Appelbaum and Rachel Parker), CARTHA founder participated in this conference, see http://nanoequity2009.cns.ucsb.edu/.
- **CARTHA Fellow Luke Juran continued to publicize CARTHA in numerous presentations at academic institutions as well as Rotary Clubs in Iowa and Tamil Nadu (India) during his Rotary Ambassador Scholarship Year**: A joint seminar was organized on May 11, 2009 at IIT-Madras at which Luke made a presentation about his study of post-tsunami resettlement districts in Tamil Nadu and issues re housing, water, sanitation for displaced populations. Luke also has accompanied CARTHA founder to many of her Rotary meetings; and delivered another presentation in December 2009 at the University of Iowa South Asian Studies program seminar. Luke has continued to make introductions of CARTHA to several of his colleagues both in the US and in India.
- CARTHA Ambassador Bob Bar attended a felicitation ceremony in December 2009 where CARTHA founder was awarded a Paul Harris Fellow designation by the Iowa City Noon Rotary Club.

EIN Number 20-5547610

Continuation Sheet to Schedule O of Form 990 Tax Return for 2009

- **Response to Part V, line 3 b**

CARTHA did not have any unrelated business income in 2009.

- **Response to Part VI, line 11A**

The draft of Form 990 was prepared by our President/CEO and shared with CARTHA's Audit Committee Chair in March 2010 with all the required background materials. For concurrent review and comments, the draft was then distributed via email to each Board member. 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 meeting in April 2010. Subsequent to such approval to proceed with filing, Form 990 was submitted to the IRS.

- **Response to Part VI, line 9**

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
D. Balasubramanian Sep. 2006 – Mar. 2009 *CARTHA Ambassador, Mar. 2009 – present*	Director of Research, L. V. Prasad Eye Institute Road No. 2, Banjara Hills, Hyderabad 500034, Andhra Pradesh, India Email: dbala1939@yahoo.co.in
Charles A. Gardner Sep. 2006 – Mar. 2009 *CARTHA Ambassador, Mar. 2009 – present*	Senior Innovation Specialist, Global Forum for Health Research 1-5 route des Morillons, PO Box 2100, 1211 Geneva 2, Switzerland Email: charles.gardner@globalforumhealth.org
George W. Krull **Sep. 2006 – Sep. 2010**	Chair, CARTHA Audit Committee; Retired Partner, Grant Thornton LLP 26W334 Menomini Drive, Wheaton, Illinois 60187 Email: gwkrull@msn.com
Thomas J. Mercolino **Mar. 2008 – Sep. 2010**	Biomedical Business Development Consultant 613 Bayberry Drive, Chapel Hill, NC 27517 Email: tmercolino@nc.rr.com
Adhiambo Yvonne Owuor Sep. 2006 – Mar. 2009 *CARTHA Ambassador, Mar. 2009 – present*	Aga Khan University Diju Investments, P.O. Box 52224-00200, Nairobi, Kenya Email: flame7tree@gmail.com
Chris Hillier Sep. 2008 - March 2009 *CARTHA Ambassador, Mar. 2009 – present*	Chris Hillier, Chair of Physiology, Biological & Biomedical Sciences Glasgow Caledonian Univ., Glasgow, Scotland, United Kingdom, G4 0BA Email: chrishillier@mac.com
Joan E. Sieber **Apr. 2009 – Sep. 2010**	Editor-in-Chief, Journal of Empirical Research on Human Research Ethics (JERHRE) 2060 Quail Canyon Court, Hayward, CA 94542 Email: joan.sieber@csueastbay.edu

- **Response to Part VI, line 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, line 15**

At the current time, no compensation has been paid to any CARTHA official.

- **Response to Part VI, 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.