

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

2008**Open to Public Inspection**

A For the 2008 calendar year, or tax year beginning <u>January 1</u> , 2008, and ending <u>December 31</u> , 20 <u>08</u>																
B Check if applicable: <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Termination <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td colspan="2" style="padding: 2px;"> C Name of organization <u>CARTHA</u> Doing Business As Number and street (or P.O. box if mail is not delivered to street address) Room/suite <u>33 Buchanan Court</u> City or town, state or country, and ZIP + 4 <u>Iowa City, Iowa 52246</u> </td> <td style="padding: 2px;"> D Employer identification number <u>20</u> : <u>5547610</u> </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> F Name and address of principal officer: <u>Usha R. Balakrishnan</u> <u>33 Buchanan Court, Iowa City, IA 52246</u> </td> <td style="padding: 2px;"> E Telephone number (<u>319</u>) <u>248-9625</u> </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> I Tax-exempt status: <input checked="" type="checkbox"/> 501(c) (<u>3</u>) ◀ (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527 </td> <td style="padding: 2px;"> G Gross receipts \$ <u>28997</u> </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> J Website: ▶ <u>www.cartha.org</u> </td> <td style="padding: 2px;"> H(a) Is this a group return for affiliates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No H(b) Are all affiliates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list. (see instructions) H(c) Group exemption number ▶ </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> K Type of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶ </td> <td style="padding: 2px;"> L Year of formation: <u>2006</u> M State of legal domicile: <u>IA</u> </td> </tr> </table>	C Name of organization <u>CARTHA</u> Doing Business As Number and street (or P.O. box if mail is not delivered to street address) Room/suite <u>33 Buchanan Court</u> City or town, state or country, and ZIP + 4 <u>Iowa City, Iowa 52246</u>		D Employer identification number <u>20</u> : <u>5547610</u>	F Name and address of principal officer: <u>Usha R. Balakrishnan</u> <u>33 Buchanan Court, Iowa City, IA 52246</u>		E Telephone number (<u>319</u>) <u>248-9625</u>	I Tax-exempt status: <input checked="" type="checkbox"/> 501(c) (<u>3</u>) ◀ (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527		G Gross receipts \$ <u>28997</u>	J Website: ▶ <u>www.cartha.org</u>		H(a) Is this a group return for affiliates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No H(b) Are all affiliates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list. (see instructions) H(c) Group exemption number ▶	K Type of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶		L Year of formation: <u>2006</u> M State of legal domicile: <u>IA</u>
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Part I Summary

1	Briefly describe the organization's mission or most significant activities: <u>To advance global good, CARTHA cultivates Collaborative Doers--bridging professionals who leverage academic-practitioner partnerships to enhance the positive impact of technological and social innovations. With a focus on academic partnerships, global health, sustainability and social responsibility, we organize thought leadership dialogues and other educational activities.</u>		
2	Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its 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, line 12, column (C)	7a	0
b	Net unrelated business taxable income from Form 990-T, line 34	7b	0

		Prior Year	Current Year
8	Contributions and grants (Part VIII, line 1h)	170	28815
9	Program service revenue (Part VIII, line 2g)	1152	1860
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)	1322	30675
13	Grants and similar amounts paid (Part IX, column (A), lines 1–3)	2686	
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)	17822	10276
18	Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25)	20508	10276
19	Revenue less expenses. Subtract line 18 from line 12	-19186	20399

		Beginning of Year	End of Year
20	Total assets (Part X, line 16)	2802	5661
21	Total liabilities (Part X, line 26)	31145	13604
22	Net assets or fund balances. Subtract line 21 from line 20	-28343	-7943

Part II Signature Block

Sign Here	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. <div style="display: flex; justify-content: space-between; align-items: flex-end; margin-top: 10px;"> <div style="width: 60%;"> Signature of officer <u>USHA R. BALAKRISHNAN, President and Board Chair</u> Type or print name and title </div> <div style="width: 35%;"> Date <u>April 25, 2009</u> </div> </div>								
Paid Preparer's Use Only	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:40%;">Preparer's signature</td> <td style="width:10%;">Date</td> <td style="width:10%;">Check if self-employed <input type="checkbox"/></td> <td style="width:40%;">Preparer's identifying number (see instructions)</td> </tr> <tr> <td colspan="2">Firm's name (or yours if self-employed), address, and ZIP + 4</td> <td>EIN</td> <td>Phone no.</td> </tr> </table>	Preparer's signature	Date	Check if self-employed <input type="checkbox"/>	Preparer's identifying number (see instructions)	Firm's name (or yours if self-employed), address, and ZIP + 4		EIN	Phone no.
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May the IRS discuss this return with the preparer shown above? (see instructions) ☐ Yes ☐ No

For Privacy Act and Paperwork Reduction Act Notice, see the separate instructions.

Cat. No. 11282Y

Form **990** (2008)

Part III Statement of Program Service Accomplishments (see instructions)

- 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. In this way, CARTHA provides a means of addressing global challenges in a way that more effectively improves the lives of the world's poor.
- 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: TMGH08) (Expenses \$ 946 including grants of \$) (Revenue \$ 233)
CARTHA designed and organized the 5th annual meeting of the Technology Managers for Global Health group in San Diego. About 45-50 technology transfer professionals participated in this meeting which has been usually held as a meeting of the Special Interest Group of the Association of University Technology Managers. More details are posted at www.tmgh.org. Because CARTHA founder is also the founder of TMGH, she had the opportunity to speak at New York University at an inaugural forum of "Women in Academic Licensing." Several attendees of TMGH 2008 are now serving as CARTHA Council of Advisors promoting additional programming opportunities for CARTHA.

4b (Code: Brazil08) (Expenses \$ 1856 including grants of \$) (Revenue \$)
First Health Technology Innovation Workshop co-organized with CARTHA Advisor Carlos Lucena de Aguiar, and held in Recife, Brazil on November 11-12, 2008. This Workshop was 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. The conference resulted directly from Carlos Lucena's attendance in the 2008 Technology Managers for Global Health meeting where he first met CARTHA founder Usha Balakrishnan. Their follow-on exploratory conversations led to the planning and organization of the Health Technology Innovation Workshop, see <http://inovatecsaude.cpqam.fiocruz.br/foreing.html>. CARTHA Board members Usha Balakrishnan and Tom Mercolino were speakers on a panel at this Workshop titled "Building Bridges for Health Technology Innovation: Technology Transfer and Collaborative Doers."

4c (Code: Boston08) (Expenses \$ 1496 including grants of \$) (Revenue \$ 1496)
CARTHA organized and led a 3-hour symposium at the Annual Meeting of the AAAS (American Association for the Advancement of Science) in Boston. Titled "Humanity at the Nexus: Academic Partnerships and Entrepreneurship in Global Health," the program details are posted under the Programs section of www.cartha.org. As a direct result of this dialogue, several follow-on initiatives have been designed to develop further programming opportunities for CARTHA in 2009 and beyond. Because the program was co-organized by CARTHA Founder as a part of her participation and service on the AAAS Committee on Scientific Freedom & Responsibility, the related expenses were reimbursed by AAAS.

4d Other program services. (Describe in Schedule O.)
 (Expenses \$ 3559 including grants of \$) (Revenue \$ 131)

4e Total program service expenses ► \$ 7857 (Must equal Part IX, Line 25, column (B).)

Part IV Checklist of Required Schedules

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2 Is the organization required to complete Schedule B, Schedule of Contributors?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities? If "Yes," complete Schedule C, Part II	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
6 Did the organization maintain any donor advised funds or any 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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
10 Did the organization hold assets in term, permanent, or quasi-endowments? If "Yes," complete Schedule D, Part V	<input type="checkbox"/>	<input checked="" type="checkbox"/>
11 Did the organization report an amount in Part X, lines 10, 12, 13, 15, or 25? If "Yes," complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable	<input type="checkbox"/>	<input checked="" type="checkbox"/>
12 Did the organization receive an audited financial statement for the year for which it is completing this return that was prepared in accordance with GAAP? If "Yes," complete Schedule D, Parts XI, XII, and XIII	<input type="checkbox"/>	<input checked="" type="checkbox"/>
13 Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E	<input type="checkbox"/>	<input checked="" type="checkbox"/>
14a Did the organization maintain an office, employees, or agents outside of the U.S.?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, and program service activities outside the U.S.? If "Yes," complete Schedule F, Part I	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
17 Did the organization report more than \$15,000 on Part IX, column (A), line 11e? If "Yes," complete Schedule G, Part I	<input type="checkbox"/>	<input checked="" type="checkbox"/>
18 Did the organization report more than \$15,000 total on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II	<input type="checkbox"/>	<input checked="" type="checkbox"/>
19 Did the organization report more than \$15,000 on Part VIII, line 9a? If "Yes," complete Schedule G, Part III	<input type="checkbox"/>	<input checked="" type="checkbox"/>
20 Did the organization operate one or more hospitals? If "Yes," complete Schedule H	<input type="checkbox"/>	<input checked="" type="checkbox"/>
21 Did the organization report more than \$5,000 on Part IX, column (A), line 1? If "Yes," complete Schedule I, Parts I and II	<input type="checkbox"/>	<input checked="" type="checkbox"/>
22 Did the organization report more than \$5,000 on Part IX, column (A), line 2? If "Yes," complete Schedule I, Parts I and III	<input type="checkbox"/>	<input checked="" type="checkbox"/>
23 Did the organization answer "Yes" to Part VII, Section A, questions 3, 4, or 5? If "Yes," complete Schedule J	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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 questions 24b–24d and complete Schedule K. If "No," go to question 25.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b Did the organization become aware that it had engaged in an excess benefit transaction with a disqualified person from a prior year? If "Yes," complete Schedule L, Part I	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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	<input checked="" type="checkbox"/>	<input type="checkbox"/>
27 Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, or substantial contributor, or to a person related to such an individual? If "Yes," complete Schedule L, Part III	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Part IV Checklist of Required Schedules (continued)

	Yes	No
28 During the tax year, did any person who is a current or former officer, director, trustee, or key employee:		
a Have a direct business relationship with the organization (other than as an officer, director, trustee, or employee), or an indirect business relationship through ownership of more than 35% in another entity (individually or collectively with other person(s) listed in Part VII, Section A)? If "Yes," complete Schedule L, Part IV	28a	✓
b Have a family member who had a direct or indirect business relationship with the organization? If "Yes," complete Schedule L, Part IV	28b	✓
c Serve as an officer, director, trustee, key employee, partner, or member of an entity (or a shareholder of a professional corporation) doing business with the organization? 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	✓

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? Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file this return. (see instructions)	2b	
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 question 5a or 5b, did the organization file Form 8886-T, Disclosure by Tax-Exempt Entity Regarding Prohibited Tax Shelter Transaction?	5c	✓
6a	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 provide goods or services in exchange for any quid pro quo contribution of more than \$75?	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	Section 501(c)(3) and other sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations. Did the supporting organization, or a fund maintained by a sponsoring organization, have excess business holdings at any time during the year?	8	
9	Section 501(c)(3) and other 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 (Sections A, B, and C request information about policies not required by the Internal Revenue Code.)

Section A. Governing Body and Management

		Yes	No
For each "Yes" response to lines 2–7b below, and for a "No" response to lines 8 or 9b below, describe the circumstances, processes, or changes in Schedule O. See instructions.			
1a	Enter the number of voting members of the governing body	7	
1b	Enter the number of voting members that are independent	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?		✓
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?		✓
4	Did the organization make any significant changes to its organizational documents since the prior Form 990 was filed?		✓
5	Did the organization become aware during the year of a material diversion of the organization's assets?		✓
6	Does the organization have members or stockholders?		✓
7a	Does the organization have members, stockholders, or other persons who may elect one or more members of the governing body?		✓
7b	Are any decisions of the governing body subject to approval by members, stockholders, or other persons?		✓
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:		
a	The governing body?	✓	
b	Each committee with authority to act on behalf of the governing body?	✓	
9a	Does the organization have local chapters, branches, or affiliates?		✓
9b	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?		
10	Was a copy of the Form 990 provided to the organization's governing body before it was filed? All organizations must describe in Schedule O the process, if any, the organization uses to review the Form 990	✓	
11	Is there any officer, director or 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	✓	

Section B. Policies

		Yes	No
12a	Does the organization have a written conflict of interest policy? If "No," go to line 13	✓	
12b	Are officers, directors or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	✓	
12c	Does the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this is done	✓	
13	Does the organization have a written whistleblower policy?	✓	
14	Does the organization have a written document retention and destruction policy?	✓	
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?	✓	
b	Other officers or key employees of the organization?	✓	
	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?		✓
16b	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?		

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. 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, and **current** key employees. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- 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 officer, director, trustee, or key employee.

[illegible]

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

[illegible]

1b Total

2 Total number of individuals (including those in 1a) 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? <i>If "Yes," complete Schedule J for such individual</i>		✓
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? <i>If "Yes," complete Schedule J for such individual.</i>		✓
5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i>		✓

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 those in 1) 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	28815				
	g Noncash contributions included in lines 1a-1f: \$		2695				
	h Total. Add lines 1a-1f			28815			
Program Service Revenue			Business Code				
	2a						
	b						
	c						
	d						
	e						
	f All other program service revenue		1860	1860			
	g Total. Add lines 2a-2f		1860				
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. Add lines 1h, 2g, 3, 4, 5, 6d, 7d, 8c, 9c, 10c, and 11e				30675	1860		

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).

<i>Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.</i>	(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	100	0	100	
d Lobbying				
e Professional fundraising services. See Part IV, line 17				
f Investment management fees				
g Other				
12 Advertising and promotion				
13 Office expenses	3690	1371	2319	
14 Information technology				
15 Royalties				
16 Occupancy				
17 Travel	6085	6085	0	
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings	401	401	0	
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				
b				
c				
d				
e				
f All other expenses				
25 Total functional expenses. Add lines 1 through 24f	10276	7857	2419	
26 Joint Costs. Check here <input type="checkbox"/> 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	2802	1	5661
	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, or other related parties. 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 basis 10a			
	b Less: accumulated depreciation. Complete Part VI of Schedule D 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)	2802	16	5661	
Liabilities	17 Accounts payable and accrued expenses	49	17	508
	18 Grants payable		18	
	19 Deferred revenue		19	
	20 Tax-exempt bond liabilities		20	
	21 Escrow 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	31096	22	13096
	23 Secured mortgages and notes payable to unrelated third parties		23	
	24 Unsecured notes and loans payable		24	
	25 Other liabilities. Complete Part X of Schedule D		25	
	26 Total liabilities. Add lines 17 through 25	31146	26	13604
Net Assets or Fund Balances	Organizations that follow SFAS 117, check here <input type="checkbox"/> 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 <input type="checkbox"/> 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	-28343	34	-7943

Part XI Financial Statements and Reporting

		Yes	No
1	Accounting method used to prepare the Form 990: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other		
2a	Were the organization's financial statements compiled or reviewed by an independent accountant?		<input checked="" type="checkbox"/>
b	Were the organization's financial statements audited by an independent accountant?		<input checked="" type="checkbox"/>
c	If "Yes" to lines 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?		
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?		<input checked="" type="checkbox"/>
b	If "Yes," did the organization undergo the required audit or audits?		

Department of the Treasury
Internal Revenue Service

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

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5547610

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
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")			3000	170	28997	32167
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 1-3			3000	170	28997	32167
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) 2004	(b) 2005	(c) 2006	(d) 2007	(e) 2008	(f) Total
7 Amounts from line 4			3000	170	28997	32167
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						32167
12 Gross receipts from related activities, etc. (see instructions)					12	32167
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 <input checked="" type="checkbox"/>						

Section C. Computation of Public Support Percentage

14 Public support percentage for 2008 (line 6, column (f) divided by line 11, column (f))	14	%
15 Public support percentage from 2007 Schedule A, Part IV-A, line 26f	15	%
16a 33⅓% support test—2008. 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 <input type="checkbox"/>		
b 33⅓% support test—2007. 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 <input type="checkbox"/>		
17a 10%-facts-and-circumstances test—2008. 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 <input type="checkbox"/>		
b 10%-facts-and-circumstances test—2007. 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 <input type="checkbox"/>		
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 ► <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
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1-5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of 1% of the total of lines 9, 10c, 11, and 12 for the year or \$5,000						
c Add lines 7a and 7b						
8 Public support (Subtract line 7c from line 6.)						

Section B. Total Support

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

Section C. Computation of Public Support Percentage

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

Section D. Computation of Investment Income Percentage

17 Investment income percentage for 2008 (line 10c, column (f) divided by line 13, column (f))	17	%
18 Investment income percentage from 2007 Schedule A, Part IV-A, line 27h	18	%
19a 33⅓% support tests—2008. If the organization did not check the box on line 14, and line 15 is more than 33⅓%, and line 17 is not more than 33⅓%, check this box and stop here . The organization qualifies as a publicly supported organization ► <input type="checkbox"/>		
b 33⅓% support tests—2007. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33⅓%, and line 18 is not more than 33⅓%, check this box and stop here . The organization qualifies as a publicly supported organization ► <input type="checkbox"/>		
20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ► <input type="checkbox"/>		

[illegible]

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

CARTHA

Employer identification number

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 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 33⅓ % 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).

Name of organization

CARTHA

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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	\$ 20000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
2	Rangaswamy and Chitra Krishnaswamy 17971 Sun Knoll Drive Yorba Linda, CA 92886	\$ 5000	Person <input checked="" 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.

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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
Usha R. Balakrishnan, Founder [Note: Copy of Loan Agreement is provided in Schedule O]	✓		31096	13096		✓	✓		✓	
Total ▶ \$				13096						

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

**SCHEDULE O
(Form 990)**

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990

► Attach to Form 990. To be completed by organizations to provide additional information for responses to specific questions for the Form 990 or to provide any additional information.

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2008

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Area with horizontal dashed lines for supplemental information.

➤ 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.

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 C2G2SM 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 5th 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.

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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. 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.

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
D. Balasubramanian Sep. 2006 – March 2010	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 – March 2010	CARTHA Ambassador March 2010 – present Coordinator, Research & Programmes Unit Global Forum for Health Research c/o Ecumenical Centre/Centre Oecuménique, 1 st floor, Salève wing 1-5 route des Morillons PO Box 2100, 1211 Geneva 2, Switzerland Email: cgardner@ei.columbia.edu
George W. Krull Sep. 2006 – Sep. 2010	CARTHA Ambassador March 2010 – present 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	Vice President, Business Development Global Vaccines, Inc. 7020 Kit Creek Road, Suite 240 Research Triangle Park, NC 27709-4827 Email: tmercolino@globalvaccines.org
Adhiambo Yvonne Owuor Sep. 2006 – Sep. 2010	Aga Khan University Diju Investments, P.O. Box 52224-00200, Nairobi, Kenya Email: flame7tree@gmail.com
Chris Hillier Sep. 2008 - Sep. 2010	Chris Hillier Chair of Physiology, School of Biological and Biomedical Sciences Glasgow Caledonian Univ., Glasgow, Scotland, United Kingdom, G4 0BA Email: c.hillier@gcal.ac.uk
Mark Sidel Sep. 2006 – Sep. 2008	Professor of Law University of Iowa College of Law 475 Boyd Law Building, Iowa City, IA 52242 Email: mark-sidel@uiowa.edu
CARTHA Ambassador Sep. 2008 - present	

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

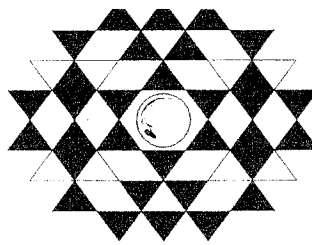
The conflict of interest policy is distributed to each of CARTHA's Board members on an annual basis along with documents and other background materials pertinent to the annual Board meeting. During the annual Board meeting, we ensure that these conflict of interest policies have been reviewed with the 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.

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
2008 Details:		
February 26, 2008	\$ 2,000	Usha R. Balakrishnan
December 31, 2008	(\$ 20,000)	Donation by Ramji and Usha Balakrishnan
GRAND TOTAL Outstanding Loan Amount	\$ 13,096	



CARTHA

CARTHA
EIN: 5547610

Board of Directors

Usha R. Balakrishnan
Iowa City
Iowa, USA

D. Balasubramanian
Hyderabad
Andhra Pradesh, India

Charles A. Gardner
Geneva, Switzerland

Chris Hillier
Glasgow, Scotland, UK

George W. Krull
Chicago
Illinois, USA

Thomas J. Mercolino
Chapel Hill
North Carolina, USA

Yvonne Owuor
Nairobi, Kenya

February 27, 2009

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 Twenty Thousand Dollars (\$20,000).

Acknowledging not only your volunteer efforts for CARTHA, we appreciate:

- (i) Your donation of \$10,000 to CARTHA as described in our first organizational Board of Directors minutes dated September 2006; and
- (ii) Your donation of \$10,000 based on the match challenge that you issued in 2008 which succeeded in attracting nearly \$10,000 of support from other individual donors from California, Iowa, and Washington DC.

As discussed, we are using your \$20,000 gesture to reduce CARTHA's loan owed to you. As per the attached schedule, CARTHA's outstanding loan amount now stands at \$13,096.

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

Enclosure