EXTENDED TO NOVEMBER 16, 2020

(Rev. January 2020) Department of the Treasury Return of Organization Exempt From Income Tax

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

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

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

OMB No. 1545-0047

A For the 2019 calendar year, or tax year beginning and ending Check if applicable: C Name of organization D Employer identification number Address change MICROBIOME HEALTH RESEARCH INSTITUTE INC Name **OPENBIOME** 46-1681862 change Initial return Number and street (or P.O. box if mail is not delivered to street address) E Telephone number Room/suite Final return/ termin-ated (617) 575-2201 2067 MASSACHUSETTS AVENUE 15,766,241. City or town, state or province, country, and ZIP or foreign postal code G Gross receipts \$ Amended 02140 CAMBRIDGE, MA H(a) Is this a group return Applica-tion pending F Name and address of principal officer: CAROLYN EDELSTEIN Yes X No for subordinates? SAME AS C ABOVE **H(b)** Are all subordinates included? Yes Tax-exempt status: X 501(c)(3) 501(c) () ◀ (insert no.) 4947(a)(1) or 527 If "No," attach a list. (see instructions) J Website: ► WWW.OPENBIOME.ORG **H(c)** Group exemption number ▶ K Form of organization: X Corporation Other -L Year of formation: 2013 M State of legal domicile: MA Association Part I Summary Briefly describe the organization's mission or most significant activities: SEE SCHEDULE O **Activities & Governance** if the organization discontinued its operations or disposed of more than 25% of its net assets. 6 3 Number of voting members of the governing body (Part VI, line 1a) 3 6 Number of independent voting members of the governing body (Part VI, line 1b) 4 106 Total number of individuals employed in calendar year 2019 (Part V, line 2a) 5 Total number of volunteers (estimate if necessary) 6 7 a Total unrelated business revenue from Part VIII, column (C), line 12 **b** Net unrelated business taxable income from Form 990-T, line 39 7b 0. **Prior Year Current Year** 54,085. 410,591. Contributions and grants (Part VIII, line 1h) 8 Revenue 494,286. 280,007. Program service revenue (Part VIII, line 2g) 14,870.21,570. Investment income (Part VIII, column (A), lines 3, 4, and 7d) 10 3,679,626. 9,830,021. Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) 11 4,242,867. 10,542,189. Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) 12 0. 0. Grants and similar amounts paid (Part IX, column (A), lines 1-3) 0. 0. 14 Benefits paid to or for members (Part IX, column (A), line 4) 3,219,784. 2,518,623. Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10) 15 Expenses 16a Professional fundraising fees (Part IX, column (A), line 11e) **b** Total fundraising expenses (Part IX, column (D), line 25) 1,598,655. 2,888,664. 17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) 4,117,278. 6,108,448. 18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25) 125,589. 4,433,741. Revenue less expenses. Subtract line 18 from line 12 Beginning of Current Year End of Year 5 4,089,233. 11,344,766. Total assets (Part X, line 16) 1,201,838. 4,023,630. 21 Total liabilities (Part X, line 26) 三年 2,887,395. 7,321,136 Net assets or fund balances. Subtract line 21 from line 20 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. (A Edd Signature of officer Date Sign CAROLYN EDELSTEIN, EXECUTIVE DIRECTOR Here Type or print name and title Date PTIN Check Print/Type preparer's name Preparer's signature 11/10/20 self-employed P01342395 BRENDA L. BOOTH Paid Firm's EIN ▶ 26-3753134 Firm's name ► CBIZ MHM, LLC Preparer Firm's address ► 500 BOYLSTON STREET Use Only Phone no. 617 - 761 - 0600BOSTON, MA 02116 Yes May the IRS discuss this return with the preparer shown above? (see instructions) No

| Par | t III Statement of Program Service Accomplishments |
|-----|--|
| | Check if Schedule O contains a response or note to any line in this Part III |
| 1 | Briefly describe the organization's mission: THE PRIMARY EXEMPT PURPOSE OF MICROBIOME HEALTH RESEARCH INSTITUTE, |
| | INC. (ALSO KNOWN AS OPENBIOME) IS TO EXPAND SAFE ACCESS TO FECAL |
| | MICROBIOTA TRANSPLANTATION AND TO CATALYZE RESEARCH INTO THE HUMAN |
| | MICROBIOME. |
| 2 | Did the organization undertake any significant program services during the year which were not listed on the |
| | prior Form 990 or 990-EZ? |
| | 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 X No |
| | If "Yes," describe these changes on Schedule O. |
| 4 | Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. |
| | Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and |
| 4- | revenue, if any, for each program service reported. (Code:) (Expenses \$ 3,266,448. including grants of \$) (Revenue \$ 9,610,021.) |
| 4a | (Code:) (Expenses \$ 3,266,448. including grants of \$) (Revenue \$9,610,021.) ENFORCEMENT DISCRETION PROGRAM: OPENBIOME SEEKS TO ELIMINATE THE |
| | PRACTICAL BARRIERS TO FECAL MICROBIOTA TRANSPLANTATION (FMT) FOR THE |
| | TREATMENT OF RECURRENT C. DIFFICILE INFECTION. OPENBIOME AIMS TO ENSURE |
| | THAT THOSE WHO NEED FMT HAVE SAFE, CONVENIENT, AND AFFORDABLE ACCESS TO |
| | THE TREATMENT THROUGH THEIR PHYSICIAN. UNDER THE FDAS ENFORCEMENT |
| | DISCRETION RULING FOR FMT, WE STRIVE TO MAKE THE PATH TO TREATMENT AS |
| | SIMPLE AS POSSIBLE FOR PATIENTS AND THEIR DOCTORS, WHILE BRINGING A |
| | LEVEL OF SAFETY AND STANDARDIZATION TO THE PROCESS THAT HAS SET THE |
| | STANDARD FOR THIS EMERGING FIELD. OPENBIOME PROVIDES RIGOROUSLY |
| | SCREENED, READY-TO-USE FECAL MICROBIOTA PREPARATIONS SO THAT PHYSICIANS |
| | CAN DEVOTE THEIR TIME AND ENERGY TO TREATING PATIENTS, RATHER THAN THE |
| | COMPLEXITIES OF MANAGING A STOOL DONOR PROGRAM. |
| 4b | (Code:) (Expenses \$ 2,091,052. including grants of \$) (Revenue \$) (Revenue \$) |
| | CLINICAL RESEARCH PROGRAM: OPENBIOME SEEKS TO ENABLE TRANSLATIONAL |
| | RESEARCH ON THE HUMAN MICROBIOME. TO DO SO, WE PROVIDE A SUITE OF SERVICES TO HELP INVESTIGATORS UNCOVER THE ROLE OF THE GUT MICROBIOME |
| | IN HUMAN HEALTH, AND TO DISCOVER HOW ENGINEERING IT CAN DRIVE BETTER |
| | HEALTH OUTCOMES. OUR SERVICES INCLUDE THE PROVISION OF CUSTOMIZED FECAL |
| | MICROBIOTA PREPARATIONS, STUDY DESIGN AND REGULATORY SUPPORT FOR |
| | CLINICAL TRIALS, AND BIOINFORMATICS AND ANALYTICAL SERVICES. OPENBIOME |
| | ALSO SPONSORS ITS OWN STUDIES INVESTIGATING CRITICAL MICROBIOME-RELATED |
| | HEALTH CONDITIONS. |
| | |
| | |
| | |
| 4c | (Code:) (Expenses \$ |
| | |
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| | |
| | |
| 4d | Other program services (Describe on Schedule O.) |
| | (Expenses \$\text{including grants of \$}\) (Revenue \$ |
| 4e | Total program service expenses ► 5,357,500. |
| | Form 990 (2019) |

| | | | 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 | Х | |
| 2 | Is the organization required to complete Schedule B, Schedule of Contributors? | 2 | X | |
| 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 | | Х |
| 4 | Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect | | | |
| | during the tax year? If "Yes," complete Schedule C, Part II | 4 | | Х |
| 5 | Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or | | | |
| | similar amounts as defined in Revenue Procedure 98-19? If "Yes," complete Schedule C, Part III | 5 | | Х |
| 6 | Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to | | | |
| | provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I | 6 | | Х |
| 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 | | Х |
| 8 | Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If</i> "Yes," <i>complete</i> | | | |
| | Schedule D, Part III | 8 | | Х |
| 9 | Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for | | | |
| | amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? | | | |
| | If "Yes," complete Schedule D, Part IV | 9 | | Х |
| 10 | Did the organization, directly or through a related organization, hold assets in donor-restricted endowments | | | |
| | or in quasi endowments? If "Yes," complete Schedule D, Part V | 10 | | х |
| 11 | If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X | | | |
| | as applicable. | | | |
| а | Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If "Yes," complete Schedule D, | | | |
| | Part VI | 11a | Х | |
| b | Did the organization report an amount for investments - other securities in Part X, line 12, that is 5% or more of its total | | | |
| | assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VII | 11b | | Х |
| С | Did the organization report an amount for investments - program related in Part X, line 13, that is 5% or more of its total | | | |
| | assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VIII | 11c | | X |
| d | Did the organization report an amount for other assets in Part X, line 15, that is 5% or more of its total assets reported in | | | |
| | Part X, line 16? If "Yes," complete Schedule D, Part IX | 11d | | X |
| е | Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X | 11e | | X |
| f | Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses | | | |
| | the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If "Yes," complete Schedule D, Part X | 11f | X | |
| 12a | Did the organization obtain separate, independent audited financial statements for the tax year? If "Yes," complete | | | |
| | Schedule D, Parts XI and XII | 12a | X | |
| b | Was the organization included in consolidated, independent audited financial statements for the tax year? | | | |
| | If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional | 12b | | <u> </u> |
| 13 | Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E | 13 | | X |
| 14a | Did the organization maintain an office, employees, or agents outside of the United States? | 14a | | X |
| b | Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, | | | |
| | investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 | | | |
| | or more? If "Yes," complete Schedule F, Parts I and IV | 14b | X | |
| 15 | Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any | | | |
| | foreign organization? If "Yes," complete Schedule F, Parts II and IV | 15 | | X |
| 16 | Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to | | | |
| | or for foreign individuals? If "Yes," complete Schedule F, Parts III and IV | 16 | | X |
| 17 | Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, | | | 37 |
| | column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I | 17 | | X |
| 18 | Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines | | | 7.7 |
| | 1c and 8a? If "Yes," complete Schedule G, Part II | 18 | | X |
| 19 | Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," | | | ٦, |
| | complete Schedule G, Part III | 19 | | X |
| 20a | 7 700, 000, 000, 000, 000, 000, 000, 00 | 20a | | X |
| | If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return? | 20b | | |
| 21 | Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or | | | v |
| | domestic government on Part IX, column (A), line 1? If "Yes," complete Schedule I. Parts I and II | 21 | | X |

Page 4

| | | | Yes | No |
|-----|---|------------|-----|----|
| 22 | Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on | | | |
| | Part IX, column (A), line 2? If "Yes," complete Schedule I, Parts I and III | 22 | | X |
| 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 | Х | |
| 24a | Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the | | | |
| | last day of the year, that was issued after December 31, 2002? If "Yes," answer lines 24b through 24d and complete | | | ,, |
| | Schedule K. If "No," go to line 25a | 24a | | X |
| | Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? | 24b | | |
| С | 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 | | |
| | Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in an excess benefit | | | |
| | transaction with a disqualified person during the year? If "Yes," complete Schedule L, Part I | 25a | | Х |
| 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 | | Х |
| 26 | Did the organization report any amount on Part X, line 5 or 22, for receivables from or payables to any current | | | |
| | or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% | | | |
| | controlled entity or family member of any of these persons? If "Yes," complete Schedule L, Part II | 26 | | X |
| 27 | Did the organization provide a grant or other assistance to any current or former officer, director, trustee, key employee, | | | |
| | creator or founder, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled | | | ,, |
| | entity (including an employee thereof) or family member of any of these persons? If "Yes," complete Schedule L, Part III | 27 | | X |
| 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): | | | |
| а | A current or former officer, director, trustee, key employee, creator or founder, or substantial contributor? f | 200 | | x |
| h | "Yes," complete Schedule L, Part IV A family member of any individual described in line 28a? If "Yes," complete Schedule L, Part IV | 28a 28b | | X |
| | A 35% controlled entity of one or more individuals and/or organizations described in lines 28a or 28b? If | 200 | | |
| · | "Yes," complete Schedule L, Part IV | 28c | | x |
| 29 | Did the organization receive more than \$25,000 in non-cash contributions? If "Yes," complete Schedule M | 29 | | х |
| 30 | Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation | | | |
| | contributions? If "Yes," complete Schedule M | 30 | | Х |
| 31 | Did the organization liquidate, terminate, or dissolve and cease operations? If "Yes," complete Schedule N, Part I | 31 | | Х |
| 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 | | X |
| 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 | | X |
| 34 | Was the organization related to any tax-exempt or taxable entity? If "Yes," complete Schedule R, Part II, III, or IV, and | | | |
| | Part V, line 1 | 34 | | X |
| | Did the organization have a controlled entity within the meaning of section 512(b)(13)? | 35a | | X |
| b | If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity | | | |
| 00 | within the meaning of section 512(b)(13)? If "Yes," complete Schedule R, Part V, line 2 | 35b | | |
| 36 | Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? | 000 | | x |
| 27 | If "Yes," complete Schedule R, Part V, line 2 Did the organization conduct more than 5% of its activities through an entity that is not a related organization | 36 | | |
| 37 | and that is treated as a partnership for federal income tax purposes? If "Yes," complete Schedule R, Part VI | 37 | | x |
| 38 | Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? | -51 | | |
| - | | 38 | х | |
| Pa | Note: All Form 990 filers are required to complete Schedule O rt V Statements Regarding Other IRS Filings and Tax Compliance | | | • |
| | Check if Schedule O contains a response or note to any line in this Part V | | | |
| | 1 1 | | Yes | No |
| | Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable | | | |
| | Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable | | | |
| С | Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming | | 37 | |
| | (gambling) winnings to prize winners? | 1c | Х | I |

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Form 990 (2019) MICROBIOME HEALTH RESEARCH INSTITUTE INC 46-1681862 Page 5 Part V Statements Regarding Other IRS Filings and Tax Compliance (continued)

| | | | | | Yes | No | | | | |
|-----|--|------------|-----------------------|------|-----|--------|--|--|--|--|
| 2a | Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, | | | | | | | | | |
| | filed for the calendar year ending with or within the year covered by this return | 2a | 106 | | | | | | | |
| b | If at least one is reported on line 2a, did the organization file all required federal employment tax return | าร? | | 2b | X | | | | | |
| | Note: If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions | s) | | | | | | | | |
| За | Did the organization have unrelated business gross income of \$1,000 or more during the year? | | | 3a | | X | | | | |
| b | If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation on Schedule | O | | 3b | | | | | | |
| 4a | At any time during the calendar year, did the organization have an interest in, or a signature or other a | | | | | | | | | |
| | financial account in a foreign country (such as a bank account, securities account, or other financial account, securities account, or other financial account, securities account, or other financial account account in a foreign country (such as a bank account, securities account, or other financial account in a foreign country (such as a bank account, securities account, or other financial account in a foreign country (such as a bank account, securities account, or other financial account in a foreign country (such as a bank account, securities account, or other financial account in a foreign country (such as a bank account, securities account, or other financial account in a foreign country (such as a bank account, securities account, or other financial account in a foreign country (such as a bank account in a foreign country (such as a bank account in a foreign country (such as a bank account in a foreign country (such as a bank account in a foreign country (such as a bank account in a foreign country (such as a bank account in a foreign country (such as a bank account in a foreign country (such as a bank account in a foreign country (such as a bank account in a foreign country (such as a bank account in a foreign country (such as a bank account in a foreign country (such as a bank account in a foreign country (such as a bank account in a foreign country (such as a bank account in a foreign country (such account in a foreign | ccour | nt)? | 4a | | X | | | | |
| b | If "Yes," enter the name of the foreign country | | | | | | | | | |
| | See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Ac | ccoun | ts (FBAR). | | | | | | | |
| 5a | Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? | | | 5a | | Х | | | | |
| b | Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction | ction? | | 5b | | X | | | | |
| С | c If "Yes" to line 5a or 5b, did the organization file Form 8886-T? | | | | | | | | | |
| 6a | Does the organization have annual gross receipts that are normally greater than \$100,000, and did the | e orga | nization solicit | | | | | | | |
| | any contributions that were not tax deductible as charitable contributions? | | | 6a | | X | | | | |
| b | If "Yes," did the organization include with every solicitation an express statement that such contribution | ons o | gifts | | | | | | | |
| | were not tax deductible? | | | 6b | | | | | | |
| 7 | Organizations that may receive deductible contributions under section 170(c). | | | | | | | | | |
| а | Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and partly for goods and services of \$75 made partly as a contribution and cont | vices p | rovided to the payor? | 7a | | X | | | | |
| b | If "Yes," did the organization notify the donor of the value of the goods or services provided? | | | 7b | | | | | | |
| С | Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was | | | | | | | | | |
| | to file Form 8282? | | | 7c | | X | | | | |
| d | If "Yes," indicate the number of Forms 8282 filed during the year | 7d | | | | | | | | |
| е | Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit co | ontrac | t? | 7e | | X | | | | |
| f | Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contra | | | 7f | | _X_ | | | | |
| g | If the organization received a contribution of qualified intellectual property, did the organization file Followski and the organization f | | | 7g | | | | | | |
| h | If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization | | | 7h | | | | | | |
| 8 | Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintained | by th | е | _ | | | | | | |
| | | | | 8 | | | | | | |
| 9 | Sponsoring organizations maintaining donor advised funds. | | | | | | | | | |
| a | | | | 9a | | | | | | |
| b | | | | 9b | | | | | | |
| 10 | Section 501(c)(7) organizations. Enter: | ۔مد ا | I | | | | | | | |
| a | Initiation fees and capital contributions included on Part VIII, line 12 | 10a 10b | | | | | | | | |
| b | Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities Section 501(c)(12) organizations. Enter: | lub | | | | | | | | |
| 11 | | 11a | I | | | | | | | |
| b | Gross income from other sources (Do not net amounts due or paid to other sources against | 114 | | | | | | | | |
| | 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 | | ? | 12a | | | | | | |
| | If "Yes," enter the amount of tax-exempt interest received or accrued during the year | 12b | j | | | | | | | |
| 13 | Section 501(c)(29) qualified nonprofit health insurance issuers. | | | | | | | | | |
| а | Is the organization licensed to issue qualified health plans in more than one state? | | | 13a | | | | | | |
| | Note: See the instructions for additional information the organization must report on Schedule O. | | | | | | | | | |
| b | Enter the amount of reserves the organization is required to maintain by the states in which the | | | | | | | | | |
| | organization is licensed to issue qualified health plans | 13b | | | | | | | | |
| С | Enter the amount of reserves on hand | 13c | | | | | | | | |
| 14a | Bid the consideration and the consideration of the bad and the consideration of the bad and the consideration of the consideration of the bad and the consideration of the consid | | | 14a | | Х | | | | |
| b | If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation on Schedul | | | 14b | | | | | | |
| 15 | Is the organization subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuner | | | | | | | | | |
| | excess parachute payment(s) during the year? | | | 15 | | Х | | | | |
| | If "Yes," see instructions and file Form 4720, Schedule N. | | | | | | | | | |
| 16 | Is the organization an educational institution subject to the section 4968 excise tax on net investment | incor | ne? | 16 | | Х | | | | |
| | If "Yes," complete Form 4720, Schedule O. | | | | | | | | | |
| | | | · | Eorm | 990 | (2010) | | | | |

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 on Schedule O. See instructions.

| | Check if Schedule O contains a response or note to any line in this Part VI | | | | | X | | | | |
|-----|---|-----------|-----------------------|----------|---------|----------|--|--|--|--|
| Sec | tion A. Governing Body and Management | | | | | | | | | |
| | | | | | Yes | No | | | | |
| 1a | Enter the number of voting members of the governing body at the end of the tax year | 1a | 6 | | | | | | | |
| | If there are material differences in voting rights among members of the governing body, or if the governing | | | | | | | | | |
| | body delegated broad authority to an executive committee or similar committee, explain on Schedule O. | | | | | | | | | |
| b | Enter the number of voting members included on line 1a, above, who are independent | 1b | 6 | | | | | | | |
| 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 | Х | | | | | |
| 3 | Did the organization delegate control over management duties customarily performed by or under the | e direct | supervision | | | | | | | |
| | of officers, directors, trustees, or key employees to a management company or other person? | | | 3 | | X | | | | |
| 4 | 4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? | | | | | | | | | |
| 5 | Did the organization become aware during the year of a significant diversion of the organization's ass | ets? | | 5 | | X | | | | |
| 6 | Did the organization have members or stockholders? | | | 6 | | _X_ | | | | |
| 7a | Did the organization have members, stockholders, or other persons who had the power to elect or ap | point o | one or | | | | | | | |
| | more members of the governing body? | | | 7a | | _X_ | | | | |
| b | Are any governance decisions of the organization reserved to (or subject to approval by) members, so | tockhol | ders, or | | | | | | | |
| | persons other than the governing body? | | | 7b | | X | | | | |
| 8 | Did the organization contemporaneously document the meetings held or written actions undertaken during the year | ar by the | following: | | | | | | | |
| а | The governing body? | | | 8a | X | | | | | |
| b | Each committee with authority to act on behalf of the governing body? | | | 8b | Х | | | | | |
| 9 | Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be rea | ched at | the | | | | | | | |
| | organization's mailing address? If "Yes." provide the names and addresses on Schedule O | | | 9 | | X | | | | |
| Sec | tion B. Policies (This Section B requests information about policies not required by the Internal Re | venue | Code.) | | | | | | | |
| | | | • | | Yes | No | | | | |
| 10a | Did the organization have local chapters, branches, or affiliates? | | | 10a | | X | | | | |
| b | If "Yes," did the organization have written policies and procedures governing the activities of such ch | apters | affiliates, | | | | | | | |
| | and branches to ensure their operations are consistent with the organization's exempt purposes? | | | 10b | | | | | | |
| 11a | Has the organization provided a complete copy of this Form 990 to all members of its governing bod | y befor | e filing the form? | 11a | X | | | | | |
| b | Describe in Schedule O the process, if any, used by the organization to review this Form 990. | | | | | | | | | |
| 12a | Did the organization have a written conflict of interest policy? If "No," go to line 13 | | | 12a | X | | | | | |
| b | Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise | to conf | licts? | 12b | X | | | | | |
| С | Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Y | res," de | escribe | | | | | | | |
| | in Schedule O how this was done | | | 12c | Х | | | | | |
| 13 | Did the organization have a written whistleblower policy? | | | 13 | Х | | | | | |
| 14 | Did the organization have a written document retention and destruction policy? | | | 14 | Х | | | | | |
| 15 | Did the process for determining compensation of the following persons include a review and approve | | dependent | | | | | | | |
| | $persons, comparability\ data, and\ contemporaneous\ substantiation\ of\ the\ deliberation\ and\ decision?$ | | | | | | | | | |
| | The organization's CEO, Executive Director, or top management official | | | 15a | Х | | | | | |
| b | Other officers or key employees of the organization | | | 15b | Х | | | | | |
| | 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 arranger | nent w | th a | | | | | | | |
| | taxable entity during the year? | | | 16a | | <u>X</u> | | | | |
| b | If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate | te its pa | articipation | | | | | | | |
| | in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organ | nization | 's | | | | | | | |
| | exempt status with respect to such arrangements? | | | 16b | | | | | | |
| Sec | tion C. Disclosure | | | | | | | | | |
| 17 | List the states with which a copy of this Form 990 is required to be filed ▶MA | | | | | | | | | |
| 18 | Section 6104 requires an organization to make its Forms 1023 (1024 or 1024-A, if applicable), 990, and | nd 990 | T (Section 501(c)(3) | s only) | availal | ble | | | | |
| | for public inspection. Indicate how you made these available. Check all that apply. | | | | | | | | | |
| | X Own website Another's website X Upon request Other (explain | | | | | | | | | |
| 19 | Describe on Schedule O whether (and if so, how) the organization made its governing documents, co | nflict o | f interest policy, an | d financ | cial | | | | | |
| | statements available to the public during the tax year. | | | | | | | | | |
| 20 | State the name, address, and telephone number of the person who possesses the organization's both MAZIE MCLEOD $-$ (617) $575-2201$ | oks and | records | | | | | | | |
| | 2067 MASSACHUSETTS AVENUE, CAMBRIDGE, MA 02140 | | | | | | | | | |

(E)

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

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

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

- 1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.
- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
 - List all of the organization's current key employees, if any. See instructions for definition of "key employee."

/B\

• 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.

(C)

(D)

- 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.

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

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

| (A) | (B) | (C) | | (D) | (E) | (F) | | | | |
|--------------------------------------|-----------------------|--------------------------------|---|---------|--------------|---------------------------------|-----------|-----------------|-----------------|-----------------------------|
| Name and title | Average | (do | Position (do not check more than one | | Reportable | Reportable | Estimated | | | |
| | hours per | box | box, unless person is both an officer and a director/trustee) | | compensation | compensation | amount of | | | |
| | week | | cer an | la a a | recto | r/trus | lee) | from | from related | other |
| | (list any | recto | | | | | | the | organizations | compensation |
| | hours for | or di | ee ee | | | ated | | organization | (W-2/1099-MISC) | from the |
| | related organizations | ustee | trustee | | ee | Suedu | | (W-2/1099-MISC) | | organization and related |
| | below | ual tr | tional | | oldr | t con | L | | | organizations |
| | line) | Individual trustee or director | Institutional t | Officer | Key employee | Highest compensated employee | Former | | | organizations |
| (1) LISA SERWIN | 10.00 | = | = | 0 | Α | Τ & | 4 | | | |
| DIRECTOR/BOARD CHAIR | | Х | | Х | | | | 0. | 0. | 0. |
| (2) JAMES BILDNER | 2.00 | | | | | | | | | |
| DIRECTOR/TREASURER | | Х | | Х | | | | 0. | 0. | 0. |
| (3) CHARLES HEWETT, PHD | 2.00 | | | | | | | | | |
| DIRECTOR | | Х | | | | | | 0. | 0. | 0. |
| (4) NEIL RASMUSSEN | 2.00 | | | | | | | | | |
| DIRECTOR | | Х | | | | | | 0. | 0. | 0. |
| (5) JANE WILLIAMS, MD MPH | 2.00 | | | | | | | | | |
| DIRECTOR | | Х | | | | | | 0. | 0. | 0. |
| (6) ERIC ALM, PHD | 2.00 | | | | | | | | | |
| DIRECTOR | | Х | | | | | | 0. | 0. | 0. |
| (7) JAMES BURGESS | 2.00 | | | | | | | | | |
| DIRECTOR (UNTIL 1/14/19) | | Х | | | | | | 0. | 0. | 0. |
| (8) MARK SMITH | 2.00 | | | | | | | | _ | _ |
| DIRECTOR (UNTIL 1/14/19) | | Х | | | | | | 0. | 0. | 0. |
| (9) CAROLYN EDELSTEIN | 40.00 | | | | | | | | | |
| EXECUTIVE DIRECTOR | | | | Х | | | | 125,000. | 0. | 10,961. |
| (10) KATHLEEN GALLAGHER | 40.00 | | | | | | | | | |
| DIRECTOR OF FINANCE (UNTIL AUG 2019) | | | | Х | | | | 79,808. | 0. | 13,915. |
| (11) STEVEN WEINSTEIN | 40.00 | | | | | | | | | |
| INTERIM COO | | | | Х | | | | 266,142. | 0. | 14,156. |
| (12) JEANNETTE VAN DER VELDE | 40.00 | | | | | | | | _ | |
| VICE PRESIDENT OF RESEARCH | | | | Х | | | | 131,316. | 0. | 3,939. |
| (13) JAMES SIGLER | 40.00 | | | | | | | | | |
| EXEC. VP, CMC & SITE HEAD | | | | Х | | | | 130,847. | 0. | 25,888. |
| (14) MAJDI OSMAN, MD | 40.00 | | | | | l | | | | |
| CLINICAL PROGRAM DIRECTOR | | | | | | X | | 157,273. | 0. | 11,929. |
| (15) CHARLES YOUNG | 40.00 | | | | | | | | | |
| SR. DIR. & HEAD OF MANUFACTURING | | | | | | X | | 128,777. | 0. | 22,567. |
| (16) SCOTT OLESON, PHD | 40.00 | | | | | l | | 100 100 | | |
| SCIENTIFIC DIRECTOR | 40.00 | | | | | Х | | 122,420. | 0. | 14,245. |
| (17) KEN LINDE | 40.00 | | | | | | | 116 050 | | 00 005 |
| DIRECTOR OF IT | | | | | | X | | 116,052. | 0. | 22,005. |

932007 01-20-20

| Name and title | Average hours per week | box, | not c | ss per | ition more son i | than of s both or/trus | n an | Reportable compensation from | Reportable compensation from related | on amount o | | | |
|--|--|--------------------------------|-----------------------|--------------|------------------------|------------------------------|--------|--|--------------------------------------|-------------|--------------------|--|------------------|
| | (list any hours for related organizations below line) | Individual trustee or director | Institutional trustee | Officer | ployee t compe | | Former | the organization (W-2/1099-MISC) | organizations (W-2/1099-MISC) | | fro orga and | pensa om th anizat d relat anizati | e ion ed |
| (18) ROBERT ROSENBAUM | 40.00 | | | | | | | 115 250 | | | _ | 4 0 | 0.0 |
| STRATEGIC INITIATIVES & DEVELOP. DIR | | | | | | X | | 115,358. | | 0. | 24 | 4,0 | 00. |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| 1b Subtotal | | | | | | | | 1,372,993. | | 0. | 163 | 3,6 | |
| c Total from continuation sheets to Part VII d Total (add lines 1b and 1c) | | | | | | | | 1,372,993. | | 0. | 16: | 3,6 | <u>0.</u> 05. |
| 2 Total number of individuals (including but no | | | | | | | | eceived more than \$100 | ,000 of reportable | | | | 1 - |
| compensation from the organization | | | | | | | | | | | | Yes | 15 No |
| 3 Did the organization list any former officer, | director, truste | ee, k | еу е | mpl | oye | e, or | hig | hest compensated emp | loyee on | ſ | | | |
| line 1a? If "Yes," complete Schedule J for st | | | | | | | | | | | 3 | | Х |
| 4 For any individual listed on line 1a, is the su and related organizations greater than \$150 | | | | | | | | | | | 4 | Х | |
| 5 Did any person listed on line 1a receive or a | | | | | | | | | | | | | |
| rendered to the organization? <i>If "Yes," com</i> Section B. Independent Contractors | plete Schedule | J fo | or su | ıch <u>r</u> | oers | on . | | | | | 5 | | Х |
| Complete this table for your five highest core | mpensated ind | epe | nder | nt co | ontra | acto | rs th | nat received more than § | S100.000 of comp | ensat | ion fro | m | |
| the organization. Report compensation for t | | | | | | | | | | | | | |
| Name and business | | CIV. | 37 | 70.1 | MID | - D | | (B) Description of s | services | C | omper | | n |
| MINTZ, LEVIN, COHN, FERRI 1 FINANCIAL CENTER, BOSTO | | | _ | A | עמ | P | - 1 | LEGAL SERVIC | ES | | 12 | 4,6 | 83. |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| 2 Total number of independent contractors (ir | ncluding but no | ot lin | nited | to t | thos | se lis | ted | above) who received m | ore than | | | | |

Page 9

Form 990 (2019) MICROBI
Part VIII Statement of Revenue

| | | Check if Schedule O contains a response o | r note to any lin | e in this Part VIII | | | |
|--|------|---|-------------------|---------------------|------------------------------------|----------------------------|---------------------------------|
| | | | | (A) | (B) | (C) | (D) |
| | | | | Total revenue | Related or exempt function revenue | Unrelated business revenue | Revenue excluded from tax under |
| | | | | | Turioliori revenue | business revenue | sections 512 - 514 |
| S S | 1 a | Federated campaigns1a | | | | | |
| Contributions, Gifts, Grants and Other Similar Amounts | b | | | | | | |
| <u> </u> င်္ဂ | | Fundraising events 1c | | | | | |
| fts, | | Related organizations 1d | | | | | |
| ig ig | | Government grants (contributions) | | | | | |
| Sin | | All other contributions, gifts, grants, and | | | | | |
| e H | ' | | 410,591. | | | | |
| έş | | similar amounts not included above 1f | 410,331. | | | | |
| o d | 9 | <u> </u> | | 410,591. | | | |
| <u>0 a</u> | n | Total. Add lines 1a-1f | Dusiness Carls | 410,391. | | | |
| | | GENERAL REGERRAL GERMANA | Business Code | 200 007 | 200 007 | | |
| <u>e</u> | 2 a | | 541900 | 280,007. | 280,007. | | |
| er v | b | · | | | | | |
| J.S. | c | | | | | | |
| ev an | C | | | | | | |
| Program Service Revenue | e | | | | | | |
| حَ | f | All other program service revenue | | | | | |
| | g | Total. Add lines 2a-2f | | 280,007. | | | |
| | 3 | Investment income (including dividends, interes | t, and | | | | |
| | | other similar amounts) | > | 21,570. | | | 21,570. |
| | 4 | Income from investment of tax-exempt bond pro | oceeds | | | | |
| | 5 | Royalties | > | 220,000. | | | 220,000. |
| | | (i) Real | (ii) Personal | | | | |
| | 6 a | Gross rents 6a | | | | | |
| | b | Less: rental expenses 6b | | | | | |
| | c | | | | | | |
| | c | Net rental income or (loss) | | | | | |
| | | Gross amount from sales of (i) Securities | (ii) Other | | | | |
| | | assets other than inventory 7a | | | | | |
| | h | Less: cost or other basis | | | | | |
| <u>o</u> | - | and sales expenses | | | | | |
| ther Revenue | | Gain or (loss) 7c | | | | | |
| ě | | Net gain or (loss) | | | | | |
| 품 | | Gross income from fundraising events (not | | | | | |
| Ĕ∣ | 0 0 | · · · · · · · · · · · · · · · · · · · | | | | | |
| Ò | | contributions reported on line 1c). See | | | | | |
| | | · | | | | | |
| | | * | | | | | |
| | | | | | | | |
| | | Net income or (loss) from fundraising events | ······ | | | | |
| | э а | Gross income from gaming activities. See | | | | | |
| | | Part IV, line 19 9a | | | | | |
| | | Less: direct expenses 9b | | | | | |
| | | Net income or (loss) from gaming activities | ····· | | | | |
| | 10 a | Gross sales of inventory, less returns | 14 024 052 | | | | |
| | | | 14,834,073. | | | | |
| | b | Less: cost of goods sold10b | 5,224,052. | | | | |
| | C | Net income or (loss) from sales of inventory | | 9,610,021. | 9,610,021. | | |
| σ | | | Business Code | | | | |
| o o | 11 a | | | | | | |
| ane | b | | | | | | |
| Miscellaneous Revenue | c | | | | | | |
| Aisc B | c | All other revenue | | | | | |
| _ | e | Total. Add lines 11a-11d | | | | | |
| | 12 | Total revenue. See instructions | • | 10,542,189. | 9,890,028. | 0. | 241,570. |

Part IX Statement of Functional Expenses

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

| | Check if Schedule O contains a respons | | | (0) | /D) |
|----|---|-----------------------|-------------------------------------|-------------------------------------|---------------------------------------|
| | not include amounts reported on lines 6b, 8b, 9b, and 10b of Part VIII. | (A) Total expenses | (B) Program service expenses | (C) Management and general expenses | (D) Fundraising expenses |
| 1 | Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21 | | | | |
| 2 | Grants and other assistance to domestic | | | | |
| | individuals. See Part IV, line 22 | | | | |
| 3 | Grants and other assistance to foreign | | | | |
| | organizations, foreign governments, and foreign | | | | |
| | individuals. See Part IV, lines 15 and 16 | | | | |
| 4 | Benefits paid to or for members | | | | |
| 5 | Compensation of current officers, directors, | | | | |
| | trustees, and key employees | 801,971. | 627,587. | 147,623. | 26,761 |
| 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 | 1,601,959. | 1,510,963. | 4,325. | 86,671. |
| 8 | Pension plan accruals and contributions (include | | | | |
| | section 401(k) and 403(b) employer contributions) | 35,277. | 30,734. | 1,939. | 2,604. |
| 9 | Other employee benefits | 35,277. 574,180. | 500,088. | 1,939. 77,023. 13,106. | 2,604. -2,931. 9,428. |
| 10 | Payroll taxes | 206,397. | 183,863. | 13,106. | 9,428. |
| 11 | Fees for services (nonemployees): | | | | |
| а | Management | | | | |
| b | | 174,068. | 148,403. | 25,665. | |
| С | | 82,954. | | 82,954. | |
| d | | | | | |
| е | | | | | |
| f | Investment management fees | | | | |
| g | | | | | |
| | column (A) amount, list line 11g expenses on Sch O.) | 104,777. | 89,444. | 15,333. | |
| 12 | Advertising and promotion | | | | |
| 13 | Office expenses | 177,525. | 145,146. | 19,841. | 12,538 |
| 14 | Information technology | 240,771. | 203,617. | 33,917. | 3,237. |
| 15 | Royalties | 587,294. | 587,294. | | |
| 16 | Occupancy | 264,145. | 225,491. | 38,654. | |
| 17 | Travel | 107,642. | 92,844. | 12,395. | 2,403. |
| 18 | Payments of travel or entertainment expenses | | | | |
| | for any federal, state, or local public officials | | | | |
| 19 | Conferences, conventions, and meetings | 31,155. | 28,692. | 2,463. | |
| 20 | Interest | | | | |
| 21 | Payments to affiliates | | | | |
| 22 | Depreciation, depletion, and amortization | 98,028. | 83,682. | 14,346. | |
| 23 | Insurance | 131,274. | 112,064. | 19,210. | |
| 24 | Other expenses. Itemize expenses not covered | | | | |
| | above (List miscellaneous expenses on line 24e. If line 24e amount exceeds 10% of line 25, column (A) | | | | |
| | amount, list line 24e expenses on Schedule 0.) SUBCONTRACTOR EXPENSES | 759,114. | 672,985. | 85,124. | 1 005 |
| a | RESEARCH & DEVELOPMENT | 99,759. | 88,858. | 10,901. | 1,005 |
| b | | 30,158. | 25,745. | 4,413. | |
| C | TELEPHONE | 30,130. | 45,/45. | 4,413. | |
| d | All others are as | | | | |
| | All other expensesAdd lines 1 through 24s | 6,108,448. | 5,357,500. | 609,232. | 141,716. |
| 25 | Total functional expenses. Add lines 1 through 24e | 0,100,440. | 3,331,300. | 009,434. | 141,/10. |
| 26 | Joint costs. Complete this line only if the organization | | | | |
| | reported in column (B) joint costs from a combined | | | | |
| | educational campaign and fundraising solicitation. Check here if following SOP 98-2 (ASC 958-720) | | | | |
| | Check here if following SOP 98-2 (ASC 958-720) | | | | Form 990 (2010 |

| . u | LA | Charlet Cabadula O contains a management of the | | . line in this Dort V | | | |
|-----------------------------|-----|--|------------|-----------------------|---------------------------------|------------|---------------------------|
| | | Check if Schedule O contains a response or no | te to any | / line in this Part X | | | /D\ |
| | | | | | (A) Beginning of year | | (B) End of year |
| | 1 | Cook non interest bearing | | | 2,317,825. | 1 | 4,460,778. |
| | 2 | Cash - non-interest-bearing Savings and temporary cash investments | | | 2,317,023. | 2 | 4,400,770* |
| | 3 | | | | | 3 | |
| | 4 | Pledges and grants receivable, net | | | 1,129,543. | 4 | 2,114,339. |
| | 5 | Accounts receivable, net Loans and other receivables from any current o | | | 1,125,545. | 7 | 2,111,555. |
| | " | trustee, key employee, creator or founder, subs | | | | | |
| | | controlled entity or family member of any of the | | | | 5 | |
| | 6 | Loans and other receivables from other disqual | - | | | J | |
| | ١ | under section 4958(f)(1)), and persons describe | | | | 6 | |
| | 7 | Notes and loans receivable, net | | | | 7 | |
| Assets | 8 | Inventories for sale or use | | ı | 188,080. | 8 | 3,763,989. |
| Ass | 9 | B | | | 72,534. | 9 | 163,297. |
| | | Land, buildings, and equipment: cost or other | I I | | , | | |
| | .54 | basis. Complete Part VI of Schedule D | 10a | 1,104,275 | | | |
| | b | Less: accumulated depreciation | 10b | 1,104,275. | 313,069. | 10c | 757,581. |
| | 11 | Investments - publicly traded securities | | , | 11 | , | |
| | 12 | Investments - other securities. See Part IV, line | | 12 | | | |
| | 13 | Investments - program-related. See Part IV, line | | | 13 | | |
| | 14 | Intangible assets | | | 14 | | |
| | 15 | Other assets. See Part IV, line 11 | | | 68,182. | 15 | 84,782. |
| | 16 | Total assets. Add lines 1 through 15 (must equ | | ı | 4,089,233. | 16 | 11,344,766. |
| | 17 | Accounts payable and accrued expenses | | | 1,201,838. | 17 | 4,023,630. |
| | 18 | Grants payable | ı | | 18 | | |
| | 19 | Deferred revenue | | 19 | | | |
| | 20 | Tax-exempt bond liabilities | | | | 20 | |
| | 21 | Escrow or custodial account liability. Complete | | ı | | 21 | |
| v | 22 | Loans and other payables to any current or form | ner office | er, director, | | | |
| Liabilities | | trustee, key employee, creator or founder, subs | tantial co | ontributor, or 35% | | | |
| abil | | controlled entity or family member of any of the | se perso | ons | | 22 | |
| = | 23 | Secured mortgages and notes payable to unrela | ated thir | d parties | | 23 | |
| | 24 | Unsecured notes and loans payable to unrelate | d third p | arties | | 24 | |
| | 25 | Other liabilities (including federal income tax, pa | yables t | o related third | | | |
| | | parties, and other liabilities not included on line | s 17-24). | Complete Part X | | | |
| | | of Schedule D | | | | 25 | |
| | 26 | Total liabilities. Add lines 17 through 25 | | | 1,201,838. | 26 | 4,023,630. |
| | | Organizations that follow FASB ASC 958, che | eck here | • ► X | | | |
| Ses | | and complete lines 27, 28, 32, and 33. | | | | | 7 01 7 01 0 |
| lan | 27 | Net assets without donor restrictions | | | 2,887,395. | 27 | 7,215,813. |
| Ba | 28 | | | | | 28 | 105,323. |
| S I | | Organizations that do not follow FASB ASC 9 | 58, che | ck here | | | |
| Net Assets or Fund Balances | | and complete lines 29 through 33. | | | | | |
| ts c | 29 | Capital stock or trust principal, or current funds | ı | | 29 | | |
| SSe | 30 | Paid-in or capital surplus, or land, building, or e | | | | 30 | |
| ţ | 31 | Retained earnings, endowment, accumulated in | | | 0 007 205 | 31 | 7 201 126 |
| ≥ | 32 | Total net assets or fund balances | | 2,887,395. | 32 | 7,321,136. | |
| | 33 | Total liabilities and net assets/fund balances | 4,089,233. | 33 | 11,344,766. | | |

| Pa | t XI Reconciliation of Net Assets | - | | , | ,, | | | | |
|----|---|--------|-------|-----|----------------|--|--|--|--|
| | Check if Schedule O contains a response or note to any line in this Part XI | | | | | | | | |
| | | | | | | | | | |
| 1 | Total revenue (must equal Part VIII, column (A), line 12) | 1 | 10,54 | 2,1 | 89. | | | | |
| 2 | Total expenses (must equal Part IX, column (A), line 25) | 2 | 6,10 | 8,4 | 48. | | | | |
| 3 | Revenue less expenses. Subtract line 2 from line 1 | | | | | | | | |
| 4 | | | | | | | | | |
| 5 | Net unrealized gains (losses) on investments | 5 | | | | | | | |
| 6 | Donated services and use of facilities | 6 | | | | | | | |
| 7 | Investment expenses | 7 | | | | | | | |
| 8 | Prior period adjustments | 8 | | | | | | | |
| 9 | Other changes in net assets or fund balances (explain on Schedule O) | 9 | | | 0. | | | | |
| 10 | Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, | | | | | | | | |
| | column (B)) | | | | | | | | |
| Pa | t XII Financial Statements and Reporting | | | | | | | | |
| | Check if Schedule O contains a response or note to any line in this Part XII | | | | | | | | |
| | | | | Yes | No | | | | |
| 1 | Accounting method used to prepare the Form 990: Cash X Accrual Other | | _ | | | | | | |
| | If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O. | | | | | | | | |
| 2a | 2a Were the organization's financial statements compiled or reviewed by an independent accountant? | | | | | | | | |
| | If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed | on a | | | | | | | |
| | separate basis, consolidated basis, or both: | | | | | | | | |
| | Separate basis Consolidated basis Both consolidated and separate basis | | | | | | | | |
| b | Were the organization's financial statements audited by an independent accountant? | | 2b | X | | | | | |
| | If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate | basis, | | | | | | | |
| | consolidated basis, or both: | | | | | | | | |
| | X Separate basis Consolidated basis Both consolidated and separate basis | | | | | | | | |
| С | 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 | X | <u> </u> | | | | |
| | If the organization changed either its oversight process or selection process during the tax year, explain on Schedule O. | | | | | | | | |
| За | 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? | | За | | X | | | | |
| b | If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required | | | | | | | | |
| | or audits, explain why on Schedule O and describe any steps taken to undergo such audits | | | | | | | | |
| | | | Form | 990 | (2019) | | | | |

SCHEDULE A

Department of the Treasury

Internal Revenue Service

(Form 990 or 990-EZ)

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

Attach to Form 990 or Form 990-EZ.

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

OMB No. 1545-0047

2019

Open to Public Inspection

Name of the organization

MICROBIOME HEALTH RESEARCH INSTITUTE INC

Employer identification number 46-1681862

Reason for Public Charity Status (All organizations must complete this part.) See instructions. Part I The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.) A church, convention of churches, or association of churches described in section 170(b)(1)(A)(i). 1 2 A school described in section 170(b)(1)(A)(ii). (Attach Schedule E (Form 990 or 990-EZ).) 3 A hospital or a cooperative hospital service organization described in section 170(b)(1)(A)(iii). A medical research organization operated in conjunction with a hospital described in section 170(b)(1)(A)(iii). Enter the hospital's name, 4 city, and state: An organization operated for the benefit of a college or university owned or operated by a governmental unit described in 5 section 170(b)(1)(A)(iv). (Complete Part II.) 6 A federal, state, or local government or governmental unit described in section 170(b)(1)(A)(v). 7 An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in section 170(b)(1)(A)(vi). (Complete Part II.) 8 A community trust described in section 170(b)(1)(A)(vi). (Complete Part II.) 9 An agricultural research organization described in section 170(b)(1)(A)(ix) operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or 10 X An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions - subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See section 509(a)(2). (Complete Part III.) 11 An organization organized and operated exclusively to test for public safety. See section 509(a)(4). 12 An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2). See section 509(a)(3). Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g. а Type I. A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. You must complete Part IV, Sections A and B. b Type II. A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). You must complete Part IV, Sections A and C. Type III functionally integrated. A supporting organization operated in connection with, and functionally integrated with, С its supported organization(s) (see instructions). You must complete Part IV, Sections A, D, and E. Type III non-functionally integrated. A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). You must complete Part IV, Sections A and D, and Part V. Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization. Enter the number of supported organizations

| i Enter the number of supported t | organizations | | | | | |
|--|----------------------|--|-----|---------------------------------|----------------------------|----------------------------|
| g Provide the following information | n about the supporte | ed organization(s). | | | | |
| (i) Name of supported | (ii) EIN | | | nization listed ng document? | (v) Amount of monetary | (vi) Amount of other |
| organization | | (described on lines 1-10 above (see instructions)) | Yes | No | support (see instructions) | support (see instructions) |
| | | | | | | |
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| Total | | | | | | |

Schedule A (Form 990 or 990-EZ) 2019 MICROBIOME HEALTH RESEARCH INSTITUTE INC 46-1681862 Page 2

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

| Sec | tion A. Public Support | | | | | | |
|------|--|-----------------------|---------------------|----------------------|---------------------|----------------------|---------------|
| Cale | ndar year (or fiscal year beginning in) | (a) 2015 | (b) 2016 | (c) 2017 | (d) 2018 | (e) 2019 | (f) Total |
| 1 | Gifts, grants, contributions, and | | | | | | |
| | membership fees received. (Do not | | | | | | |
| | include any "unusual grants.") | | | | | | |
| 2 | Tax revenues levied for the organ- | | | | | | |
| | ization'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 | | | | | | |
| | 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. | | | | | | |
| | tion B. Total Support | | | • | • | • | • |
| Cale | ndar year (or fiscal year beginning in) | (a) 2015 | (b) 2016 | (c) 2017 | (d) 2018 | (e) 2019 | (f) Total |
| 7 | Amounts from line 4 | | | | | | |
| 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 VI.) | | | | | | |
| 11 | Total support. Add lines 7 through 10 | | | | | | |
| | Gross receipts from related activities, | etc. (see instruction | ons) | | • | 12 | |
| | First five years. If the Form 990 is for | • | | | | n 501(c)(3) | |
| | organization, check this box and stop | - | | | - | | |
| Sec | tion C. Computation of Publi | c Support Per | centage | | | | • |
| 14 | Public support percentage for 2019 (I | ne 6, column (f) d | vided by line 11, o | column (f)) | | 14 | % |
| 15 | Public support percentage from 2018 | Schedule A, Part | II, line 14 | | | 15 | % |
| | 33 1/3% support test - 2019. If the o | | | | | nore, check this bo | x and |
| | stop here. The organization qualifies | as a publicly supp | orted organizatior | າ | | | |
| b | 33 1/3% support test - 2018. If the o | organization did no | ot check a box on | | | | |
| | and stop here. The organization qual | ifies as a publicly | supported organiz | ation | | | |
| 17a | 10% -facts-and-circumstances test | | | | | | |
| | and if the organization meets the "fac | ts-and-circumstan | ces" test, check tl | nis box and stop | here. Explain in Pa | art VI how the orga | nization |
| | meets the "facts-and-circumstances" | test. The organiza | tion qualifies as a | publicly supported | d organization | | |
| b | 10% -facts-and-circumstances test | | | | | | |
| | more, and if the organization meets th | - | | | | | |
| | organization meets the "facts-and-circ | umstances" test. | The organization of | qualifies as a publi | cly supported orga | nization | > |
| 18 | Private foundation. If the organization | n did not check a | box on line 13, 16 | 6a, 16b, 17a, or 17 | b, check this box a | and see instructions | s > |

Schedule A (Form 990 or 990-EZ) 2019 MICROBIOME HEALTH RESEARCH INSTITUTE INC 46-1681862 Page 3 Part III Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

| | ndar year (or fiscal year beginning in) | (a) 2015 | (b) 2016 | (c) 2017 | (d) 2018 | (e) 2019 | (f) Total |
|------------------------------|---|---|--|--|---|---|---|
| 1 | Gifts, grants, contributions, and | , | , , | , , | , | ,, | 1 |
| - | membership fees received. (Do not | | | | | | |
| | include any "unusual grants.") | 367,871. | 140,017. | 23,024. | 54,085. | 410,591. | 995,588 |
| _ | Gross receipts from admissions, | 307,071 | 140,017. | 23,024. | 34,003. | 410,331. | 333,300 |
| | merchandise sold or services per- formed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose | 3282548. | 5285804. | 5868505. | 7262726. | 15114080. | 36813663 |
| 3 | Gross receipts from activities that are not an unrelated trade or business under section 513 | | | | | | |
| 4 | Tax revenues levied for the organization's benefit and either paid to or expended on its behalf | | | | | | |
| 5 | The value of services or facilities furnished by a governmental unit to the organization without charge | | | | | | |
| 6 | Total. Add lines 1 through 5 | 3650419. | 5425821. | 5891529. | 7316811. | 15524671. | 37809251 |
| | Amounts included on lines 1, 2, and | | | | | | |
| | 3 received from disqualified persons | 355,000. | 124,021. | | 50,000. | 301,854. | 830,875 |
| b | Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year | · | · | | , | , | 0 |
| c | Add lines 7a and 7b | 355,000. | 124,021. | | 50,000. | 301,854. | |
| | Public support. (Subtract line 7c from line 6.) | 555,555 | | | 30,7000 | 002,0020 | 36978376 |
| | etion B. Total Support | | | | | | 003,03,0 |
| | ndar year (or fiscal year beginning in) | (a) 2015 | (b) 2016 | (c) 2017 | (d) 2018 | (e) 2019 | (f) Total |
| | Amounts from line 6 | 3650419. | 5425821. | 5891529. | 7316811 | 15524671. | |
| | Gross income from interest, | 3030413. | 3423021. | 3031323. | 7310011. | 13324071. | 57005251 |
| Va | dividends, payments received on securities loans, rents, royalties, and income from similar sources | | | 1365023. | 614,624. | 241,570. | 2221217 |
| b | Unrelated business taxable income | | | | | | |
| | (less section 511 taxes) from businesses | | | | | | |
| | acquired after June 30, 1975 | | | | | | |
| С | Add lines 10a and 10b | | | 1365023. | 614,624. | 241,570. | 2221217 |
| | 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 VI.) | | 11,213. | 13,353. | 4,200. | | 28,766 |
| 3 | Total support. (Add lines 9, 10c, 11, and 12.) | 3650419. | 5437034. | 7269905. | 7935635. | 15766241. | 40059234 |
| | First five years. If the Form 990 is for | the organization's | first, second, third | d, fourth, or fifth ta | x year as a sectior | n 501(c)(3) organiza | ation, |
| 4 | | • | | | • | . , . , | • |
| 4 | check this box and stop here | | | | | | |
| | check this box and stop heretion C. Computation of Publi | c Support Per | centage | | | | |
| ec | tion C. Computation of Publi | c Support Per | centage | column (f)) | | 15 | 92.31 |
| ес 5 | etion C. Computation of Public Public support percentage for 2019 (I | c Support Per ine 8, column (f), d | centage ivided by line 13, c | | | 15 | 92.31 88.80 |
| e c 5 | Public support percentage for 2019 (I Public support percentage from 2018 | c Support Per ine 8, column (f), d Schedule A, Part | centage ivided by line 13, c III, line 15 | column (f)) | | | 92.31 88.80 |
| 6 6 | etion C. Computation of Public Public support percentage for 2019 (I Public support percentage from 2018 etion D. Computation of Investion | c Support Per ine 8, column (f), d Schedule A, Part stment Income | centage ivided by line 13, o III, line 15 Percentage | | | 16 | 88.80 |
| 6 6 6 7 | Public support percentage for 2019 (I Public support percentage from 2018 etion D. Computation of Investing Investment income percentage for 20 | c Support Per ine 8, column (f), d Schedule A, Part stment Income 119 (line 10c, colum | centage ivided by line 13, c III, line 15 Percentage nn (f), divided by lin | ne 13, column (f)) | | 16 | 5.54 |
| 5 6 6 7 8 | Public support percentage for 2019 (I Public support percentage from 2018 ction D. Computation of Investment income percentage from 2018 Investment income percentage from 2018 | c Support Per ine 8, column (f), d Schedule A, Part I stment Income 019 (line 10c, colun 2018 Schedule A, | centage ivided by line 13, could lill, line 15 Percentage Inn (f), divided by line Part III, line 17 | ne 13, column (f)) | | 16 17 18 | 5.54 7.83 |
| 5 6 6 7 | Public support percentage for 2019 (I Public support percentage from 2018 etion D. Computation of Investion D. Computation of Investing from 2018 Investment income percentage from 2018 1019 Investment income percentage from 2018 | c Support Per ine 8, column (f), d Schedule A, Part stment Income 19 (line 10c, colun 2018 Schedule A, organization did n | centage ivided by line 13, of lill, line 15 Percentage Inn (f), divided by line Part III, line 17 ot check the box of | ne 13, column (f)) on line 14, and line | 15 is more than 3 | 16 17 18 3 1/3%, and line 1 | 88.80 5.54 7.83 |
| 6e0 6e0 7 8 | Public support percentage for 2019 (I Public support percentage from 2018 etion D. Computation of Investion D. Computation of Investing Investment income percentage from 20 Investment income percentage from 23 1/3% support tests - 2019. If the more than 33 1/3%, check this box ar | ine 8, column (f), do Schedule A, Part lettment Income 2019 (line 10c, column 2018 Schedule A, organization did nond stop here. The | centage ivided by line 13, colling in the 15 Percentage In (f), divided by line Part III, line 17 ot check the box corganization quality | ne 13, column (f)) on line 14, and line fies as a publicly su | 15 is more than 3 | 17 18 3 1/3%, and line 1 | 88.80 5.54 7.83 7 is not |
| ec 5 6 7 8 9a | Public support percentage for 2019 (I Public support percentage from 2018 etion D. Computation of Investion D. Computation of Investing from 2018 Investment income percentage from 2018 1019 Investment income percentage from 2018 | ine 8, column (f), described A, Part Income 19 (line 10c, column 2018 Schedule A, organization did not stop here. The organization did not stop did | ivided by line 13, or lill, line 15 Percentage Inn (f), divided by line 17 ot check the box or organization quality of check a box on | ne 13, column (f)) on line 14, and line fies as a publicly su line 14 or line 19a | 15 is more than 3 upported organiza , and line 16 is mo | 17 18 3 1/3%, and line 1 tion are than 33 1/3%, a | 88.80 5.54 7.83 7 is not ►X |

Part IV | Supporting Organizations

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

Section A. All Supporting Organizations

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

| | | Voc | No |
|---|----------|-------|------|
| | | Yes | NO |
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| 9 | 90 or 99 | 0-EZ) | 2019 |

| Sche | edule A (Form 990 or 990-EZ) 2019 MICROBIOME HEALTH RESEARCH INSTITUTE INC 46-16 | 8186 | 2 Pa | age 5 |
|--------|---|----------|------|--------------|
| Pa | rt IV Supporting Organizations _(continued) | | | |
| | | | Yes | No |
| 11 | Has the organization accepted a gift or contribution from any of the following persons? | | | |
| а | A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) | | | |
| | below, the governing body of a supported organization? | 11a | | |
| | A family member of a person described in (a) above? | 11b | | |
| | A 35% controlled entity of a person described in (a) or (b) above? If "Yes" to a, b, or c, provide detail in Part VI. | 11c | | |
| | | | Yes | No |
| 1 | Did the directors, trustees, or membership of one or more supported organizations have the power to | | | |
| | regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the | | | |
| | tax year? If "No," describe in Part VI how the supported organization(s) effectively operated, supervised, or | | | |
| | controlled the organization's activities. If the organization had more than one supported organization, | | | |
| | describe how the powers to appoint and/or remove directors or trustees were allocated among the supported | | | |
| | organizations and what conditions or restrictions, if any, applied to such powers during the tax year. | 1 | | |
| 2 | Did the organization operate for the benefit of any supported organization other than the supported | | | |
| | organization(s) that operated, supervised, or controlled the supporting organization? If "Yes," explain in | | | |
| | Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, | | | |
| Sec | supervised, or controlled the supporting organization. tion C. Type II Supporting Organizations | 2 | | |
| 000 | tion of Type in Supporting Organizations | | Yes | No |
| 1 | Were a majority of the organization's directors or trustees during the tax year also a majority of the directors | | 163 | NO |
| • | or trustees of each of the organization's supported organization(s)? If "No," describe in Part VI how control | | | |
| | or management of the supporting organization was vested in the same persons that controlled or managed | | | |
| | the supported organization(s). | 1 | | |
| Sec | tion D. All Type III Supporting Organizations | | | |
| | | | Yes | No |
| 1 | Did the organization provide to each of its supported organizations, by the last day of the fifth month of the | | | |
| | organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax | | | |
| | year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the | | | |
| | organization's governing documents in effect on the date of notification, to the extent not previously provided? | 1 | | |
| 2 | Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported | | | |
| | organization(s) or (ii) serving on the governing body of a supported organization? If "No," explain in Part VI how | | | |
| | the organization maintained a close and continuous working relationship with the supported organization(s). | 2 | | |
| 3 | By reason of the relationship described in (2), did the organization's supported organizations have a | | | |
| | significant voice in the organization's investment policies and in directing the use of the organization's | | | |
| | income or assets at all times during the tax year? If "Yes," describe in Part VI the role the organization's | | | |
| Sec | supported organizations played in this regard. stion E. Type III Functionally Integrated Supporting Organizations | 3 | | |
| 1 | | | | |
| ' a | Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions) The organization satisfied the Activities Test. Complete line 2 below. | • | | |
| b | The organization is the parent of each of its supported organizations. Complete line 3 below. | | | |
| С | The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see inst | ructions |) | |
| 2 | Activities Test. Answer (a) and (b) below. | | Yes | No |
| а | Did substantially all of the organization's activities during the tax year directly further the exempt purposes of | | | |
| | the supported organization(s) to which the organization was responsive? If "Yes," then in Part VI identify | | | |
| | those supported organizations and explain how these activities directly furthered their exempt purposes, | | | |
| | how the organization was responsive to those supported organizations, and how the organization determined | | | |
| | that these activities constituted substantially all of its activities. | 2a | | |
| b | Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more | | | |
| | of the organization's supported organization(s) would have been engaged in? If "Yes," explain in Part VI the | | | |
| | reasons for the organization's position that its supported organization(s) would have engaged in these | | | |
| _ | activities but for the organization's involvement. | 2b | | |
| 3 | Parent of Supported Organizations. Answer (a) and (b) below. | | | |
| а | | | | |
| | trustees of each of the supported organizations? <i>Provide details in Part VI</i> . | 3a | | |
| b | Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? If "Ves." describe in Part VI the role played by the organization in this regard | 3b | | |
| | ULIES SUUDULIEU ULUALIKALIULIS! IT "YES" MESCRIBE IN FALL VI the role played by the organization in this regard | - 50 | 1 | |

Schedule A (Form 990 or 990-EZ) 2019 MICROBIOME HEALTH RESEARCH INSTITUTE INC 46-1681862 Page 6

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

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

| Section A - Adjusted | d Net Income | | (A) Prior Year | (B) Current Year (optional) |
|------------------------|---|----------------|----------------------------|--------------------------------|
| 1 Net short-term | capital gain | 1 | | |
| 2 Recoveries of p | prior-year distributions | 2 | | |
| 3 Other gross inc | come (see instructions) | 3 | | |
| 4 Add lines 1 thre | ough 3. | 4 | | |
| 5 Depreciation a | nd depletion | 5 | | |
| 6 Portion of oper | ating expenses paid or incurred for production or | | | |
| collection of gr | oss income or for management, conservation, or | | | |
| | f property held for production of income (see instructions) | 6 | | |
| 7 Other expense | s (see instructions) | 7 | | |
| 8 Adjusted Net I | ncome (subtract lines 5, 6, and 7 from line 4) | 8 | | |
| Section B - Minimur | n Asset Amount | | (A) Prior Year | (B) Current Year (optional) |
| 1 Aggregate fair | market value of all non-exempt-use assets (see | | | |
| instructions for | short tax year or assets held for part of year): | | | |
| a Average month | ly value of securities | 1a | | |
| b Average month | ly cash balances | 1b | | |
| c Fair market val | ue of other non-exempt-use assets | 1c | | |
| d Total (add lines | s 1a, 1b, and 1c) | 1d | | |
| | ned for blockage or other | | | |
| factors (explain | in detail in Part VI): | | | |
| 2 Acquisition ind | ebtedness applicable to non-exempt-use assets | 2 | | |
| 3 Subtract line 2 | from line 1d. | 3 | | |
| 4 Cash deemed l | neld for exempt use. Enter 1-1/2% of line 3 (for greater amount, | | | |
| see instruction | | 4 | | |
| 5 Net value of no | n-exempt-use assets (subtract line 4 from line 3) | 5 | | |
| 6 Multiply line 5 l | oy .035. | 6 | | |
| | prior-year distributions | 7 | | |
| 8 Minimum Asse | et Amount (add line 7 to line 6) | 8 | | |
| Section C - Distribu | | | | Current Year |
| 1 Adjusted net in | come for prior year (from Section A, line 8, Column A) | 1 | | |
| 2 Enter 85% of lin | ne 1. | 2 | | |
| 3 Minimum asset | amount for prior year (from Section B, line 8, Column A) | 3 | | |
| 4 Enter greater o | f line 2 or line 3. | 4 | | |
| | posed in prior year | 5 | | |
| - | Amount. Subtract line 5 from line 4, unless subject to | | | |
| | nporary reduction (see instructions). | 6 | | |
| | ere if the current year is the organization's first as a non-function | ally integrate | d Type III supporting orga | nization (see |

Schedule A (Form 990 or 990-EZ) 2019

instructions).

Schedule A (Form 990 or 990-EZ) 2019 MICROBIOME HEALTH RESEARCH INSTITUTE INC 46-1681862 Page 7

| Par | ^ব V │ Type III Non-Functionally Integrated 509 | (a)(3) Supporting Orga | inizations _(continued) | |
|-------|--|-------------------------------|-----------------------------------|----------------------------------|
| Secti | ion D - Distributions | | | Current Year |
| 1 | Amounts paid to supported organizations to accomplish exe | empt purposes | | |
| 2 | Amounts paid to perform activity that directly furthers exempt | ot purposes of supported | | |
| | organizations, in excess of income from activity | | | |
| 3 | Administrative expenses paid to accomplish exempt purpose | es of supported organizations | 5 | |
| 4 | Amounts paid to acquire exempt-use assets | | | |
| 5 | Qualified set-aside amounts (prior IRS approval required) | | | |
| 6 | Other distributions (describe in Part VI). See instructions. | | | |
| 7 | Total annual distributions. Add lines 1 through 6. | | | |
| 8 | Distributions to attentive supported organizations to which t | he organization is responsive | | |
| | (provide details in Part VI). See instructions. | • | | |
| 9 | Distributable amount for 2019 from Section C, line 6 | | | |
| 10 | Line 8 amount divided by line 9 amount | | | |
| | • | (i) | (ii) | (iii) |
| Secti | ion E - Distribution Allocations (see instructions) | Excess Distributions | Underdistributions Pre-2019 | Distributable Amount for 2019 |
| 1 | Distributable amount for 2019 from Section C, line 6 | | | |
| 2 | Underdistributions, if any, for years prior to 2019 (reason- | | | |
| | able cause required- explain in Part VI). See instructions. | | | |
| 3 | Excess distributions carryover, if any, to 2019 | | | |
| а | From 2014 | | | |
| b | From 2015 | | | |
| С | From 2016 | | | |
| d | From 2017 | | | |
| е | From 2018 | | | |
| f | Total of lines 3a through e | | | |
| g | Applied to underdistributions of prior years | | | |
| h | Applied to 2019 distributable amount | | | |
| i | Carryover from 2014 not applied (see instructions) | | | |
| j | Remainder. Subtract lines 3g, 3h, and 3i from 3f. | | | |
| 4 | Distributions for 2019 from Section D, | | | |
| | line 7: \$ | | | |
| а | Applied to underdistributions of prior years | | | |
| b | Applied to 2019 distributable amount | | | |
| С | Remainder. Subtract lines 4a and 4b from 4. | | | |
| 5 | Remaining underdistributions for years prior to 2019, if | | | |
| | any. Subtract lines 3g and 4a from line 2. For result greater | | | |
| | than zero, explain in Part VI. See instructions. | | | |
| 6 | Remaining underdistributions for 2019. Subtract lines 3h | | | |
| | and 4b from line 1. For result greater than zero, explain in | | | |
| | Part VI. See instructions. | | | |
| 7 | Excess distributions carryover to 2020. Add lines 3j | | | |
| | and 4c. | | | |
| 8 | Breakdown of line 7: | | | |
| | Excess from 2015 | | | |
| | Excess from 2016 | | | |
| | Excess from 2017 | | | |
| | Excess from 2018 | | | |
| | Excess from 2010 | | | |

Schedule A (Form 990 or 990-EZ) 2019

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

(Form 990, 990-EZ, or 990-PF)

Department of the Treasury Internal Revenue Service

Name of the organization

Schedule of Contributors

► Attach to Form 990, Form 990-EZ, or Form 990-PF.

Go to www.irs.gov/Form990 for the latest information.

0040

2019

OMB No. 1545-0047

Employer identification number

MICROBIOME HEALTH RESEARCH INSTITUTE INC

46-1681862

Organization type (check one):

Filers of: Section:

Form 990 or 990-EZ X 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

X For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions 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 an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 exclusively for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions exclusively for religious, charitable, etc., purposes, but no such contributions totaled 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. Don't complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions totaling \$5,000 or more during the year

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't 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 its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Paperwork Reduction Act Notice, see the instructions for Form 990, 990-EZ, or 990-PF.

Schedule B (Form 990, 990-EZ, or 990-PF) (2019)

SCHEDULE D (Form 990)

Department of the Treasury Internal Revenue Service

Supplemental Financial Statements

▶ Complete if the organization answered "Yes" on Form 990,
Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.

▶ Attach to Form 990.

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

OMB No. 1545-0047 Open to Public Inspection

Name of the organization

MICROBIOME HEALTH RESEARCH INSTITUTE INC

Employer identification number 46-1681862

| Pa | organizations Maintaining Donor Advised organization answered "Yes" on Form 990, Part IV, line | | r Similar Funds | or Acco | DUNTS. Complete if the | |
|----|---|-------------------------|------------------------|---------------|-------------------------------|----------|
| | organization answered Tes On Form 990, Part IV, line | (a) Donor adv | rised funds | (b) | Funds and other accounts | S |
| 1 | Total number at end of year | | | | | |
| 2 | Aggregate value of contributions to (during year) | | | | | |
| 3 | Aggregate value of grants from (during year) | | | | | |
| 4 | Aggregate value at end of year | | | | | |
| 5 | Did the organization inform all donors and donor advisors in w | | held in donor advis | ed funds | | |
| | are the organization's property, subject to the organization's e | exclusive legal contro | l? | | Yes | No |
| 6 | Did the organization inform all grantees, donors, and donor ad | lvisors in writing that | grant funds can be | used only | | |
| | for charitable purposes and not for the benefit of the donor or | donor advisor, or for | any other purpose | conferring | | |
| | impermissible private benefit? | | | | Yes | No |
| Pa | t II Conservation Easements. Complete if the organization | anization answered " | Yes" on Form 990, | Part IV, lin | e 7. | |
| 1 | Purpose(s) of conservation easements held by the organization | n (check all that appl | <u>y).</u> | | | |
| | Preservation of land for public use (for example, recreati | ion or education) | | | ally important land area | |
| | Protection of natural habitat | | Preservation o | f a certified | d historic structure | |
| | Preservation of open space | | | | | |
| 2 | Complete lines 2a through 2d if the organization held a qualifie | ed conservation cont | ribution in the form | of a conse | | |
| | day of the tax year. | | | | Held at the End of the 1 | Tax Year |
| _ | | | | | <u>2a</u> | |
| b | | | | | 2b | |
| C | Number of conservation easements on a certified historic structure. | | | | 2c | |
| d | Number of conservation easements included in (c) acquired af | , | | I . | N | |
| 2 | listed in the National Register | | | | 2d | |
| 3 | Number of conservation easements modified, transferred, rele | asea, extinguishea, | or terminated by the | organizat | ion during the tax | |
| 4 | year ▶ Number of states where property subject to conservation ease | amont is located | | | | |
| 5 | Does the organization have a written policy regarding the period | • | ection handling of | | | |
| J | violations, and enforcement of the conservation easements it I | • . | | | Yes | No |
| 6 | Staff and volunteer hours devoted to monitoring, inspecting, h | | | | | |
| - | > | 9 | ,g | | gg | |
| 7 | Amount of expenses incurred in monitoring, inspecting, handli | ing of violations, and | enforcing conserva | tion easen | nents during the year | |
| | ▶ \$ | | - | | | |
| 8 | Does each conservation easement reported on line 2(d) above | satisfy the requirem | ents of section 170 | (h)(4)(B)(i) | | |
| | and section 170(h)(4)(B)(ii)? | | | | Yes | No |
| 9 | In Part XIII, describe how the organization reports conservation | n easements in its re | venue and expense | statemen | t and | |
| | balance sheet, and include, if applicable, the text of the footnot | ote to the organization | n's financial statem | ents that c | describes the | |
| _ | organization's accounting for conservation easements. | | | | | |
| Pa | t III Organizations Maintaining Collections of | | reasures, or O | ther Sim | ıılar Assets. | |
| | Complete if the organization answered "Yes" on Form 9 | | | | | |
| 1a | If the organization elected, as permitted under FASB ASC 958 | , · | | | | |
| | of art, historical treasures, or other similar assets held for publ | * | * | | of public | |
| | service, provide in Part XIII the text of the footnote to its finance | | | | | |
| b | If the organization elected, as permitted under FASB ASC 958 | • | | | | |
| | art, historical treasures, or other similar assets held for public | exhibition, education | , or research in furti | nerance of | public service, | |
| | provide the following amounts relating to these items: | | | | Φ. | |
| | (i) Revenue included on Form 990, Part VIII, line 1 | | | | \$ | |
| 0 | | auraa ar athar aimila | | | \$ | |
| 2 | If the organization received or held works of art, historical trea- | | | ıı yaırı, pro | viue | |
| а | the following amounts required to be reported under FASB AS Revenue included on Form 990, Part VIII, line 1 | | | ı | \$ | |
| | Assets included in Form 990, Part X | | | | \$ \$ | |
| | For Paperwork Reduction Act Notice, see the Instructions | | | | Schedule D (Form 99 | 90) 2019 |

932051 10-02-19

757,581

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

932053 10-02-19

Schedule D (Form 990) 2019

5 Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.)
Part XIII Supplemental Information.

b Other (Describe in Part XIII.)c Add lines 4a and 4b

a Investment expenses not included on Form 990, Part VIII, line 7b

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

4a

4c

6,108,448.

PART X, LINE 2:

THE ORGANIZATION ACCOUNTS FOR THE EFFECT OF ANY UNCERTAIN TAX POSITIONS

BASED ON A "MORE LIKELY THAN NOT" THRESHOLD TO THE RECOGNITION OF THE TAX

POSITIONS BEING SUSTAINED BASED ON THE TECHNICAL MERITS OF THE POSITION

UNDER SCRUTINY BY THE APPLICABLE TAXING AUTHORITY. IF A TAX POSITION OR

POSITIONS ARE DEEMED TO RESULT IN UNCERTAINTIES OF THOSE POSITIONS, THE

UNRECOGNIZED TAX BENEFIT IS ESTIMATED BASED ON A "CUMULATIVE PROBABILITY

ASSESSMENT" THAT AGGREGATES THE ESTIMATED TAX LIABILITY FOR ALL UNCERTAIN

TAX POSITIONS. INTEREST AND PENALTIES ASSESSED, IF ANY, ARE ACCRUED AS

INCOME TAX EXPENSE.

THE ORGANIZATION HAS IDENTIFIED ITS STATUS AS A TAX EXEMPT ENTITY AS ITS

| Schedule D (Form 990) 2019 MICROBIOME HEALTH RESEARCH INSTITUTE INC 46-1681862 Page Part XIII Supplemental Information (continued) | ge 5 |
|--|-------------|
| Supplemental Information (continued) | |
| ONLY SIGNIFICANT TAX POSITION AND HAS DETERMINED THAT SUCH TAX POSITION | |
| DOES NOT RESULT IN AN UNCERTAINTY REQUIRING RECOGNITION. THE ORGANIZATION | <u>[</u> |
| IS NOT CURRENTLY UNDER EXAMINATION BY ANY TAXING JURISDICTION. | |
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SCHEDULE F (Form 990)

Department of the Treasury Internal Revenue Service

Statement of Activities Outside the United States

► Complete if the organization answered "Yes" on Form 990, Part IV, line 14b, 15, or 16.

➤ Attach to Form 990.

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

2019
Open to Public Inspection

Name of the organization

Employer identification number

| MICROBIOME HEALTH RESEARCH INSTITUTE II |
|---|
|---|

46-1681862

| MICROBIOME HEA | | | | 46-16818 | |
|----------------------------------|--|--|--|--|------------------------------|
| | | ctivities Out | side the United States. Compl | ete if the organization answered | "Yes" on |
| Form 990, Par | | | | | |
| = | | | ds to substantiate the amount of its gra | | |
| the grantees' eligibilit | y for the grants or a | assistance, and | the selection criteria used to award the | grants or assistance? | Yes N |
| 0 F | and the Company of th | | and a state of the | and the same to the same of th | tatala da a |
| | escribe in Part V the | e organization's | procedures for monitoring the use of its | s grants and other assistance ou | tside the |
| United States. | | | | | |
| | | | an be duplicated if additional space is r | | (s) Tatal |
| (a) Region | (b) Number of offices | (c) Number of employees, | (d) Activities conducted in the region (by type) (such as, fundraising, pro- | (e) If activity listed in (d) is a program service, | (f) Total expenditures |
| | in the region | employees, agents, and independent | gram services, investments, grants to | | for and |
| | | I contractors | recipients located in the region) | of service(s) in the region | investments in the region |
| | | in the region | , | | in the region |
| | | | | | |
| | | | | | |
| UB-SAHARAN AFRICA | 0 | 0 | PROGRAM SERVICES | CLINICAL TRIAL SPONSOR | 164,866 |
| OB-SANAKAN AFRICA | 0 | 0 | PROGRAM SERVICES | CLINICAL TRIAL SPONSOR | 104,800 |
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| 3 a Subtotal | . 0 | 0 | | | 164,866 |
| b Total from continuation | | | | | |
| sheets to Part I | | 0 | | | 0 |
| c Totals (add lines 3a | | | | | |
| and 3b) | . 0 | 0 | | | 164,866 |
| HA For Paperwork Redu | iction Act Notice | saa tha Instruc | tions for Form 990 | Schodula | F (Form 990) 201 |

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule F (Form 990) 2019

Part II

Schedule F (Form 990) 2019

| | recipient who rec | recipient who received more than \$5,000. Part II can be duplicated if additional space is needed. | | | | | | | | | | |
|---|--|--|------------|---|--------------------------|---------------------------------|--|---------------------------------------|---|--|--|--|
| _ | 1 (a) Name of organization | (b) IRS code section and EIN (if applicable) | (c) Region | (d) Purpose of grant | (e) Amount of cash grant | (f) Manner of cash disbursement | (g) Amount of noncash assistance | (h) Description of noncash assistance | (i) Method of valuation (book, FMV, appraisal, other) | | | |
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| | | | | ecognized as charities by the ion 501(c)(3) equivalency lette | | | | | | | | |
| | by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter Enter total number of other organizations or entities | | | | | | | | | | | |

Grants and Other Assistance to Organizations or Entities Outside the United States. Complete if the organization answered "Yes" on Form 990, Part IV, line 15, for any

| Part III Grants and Other Assistance Part III can be duplicated if ac | | | tes. Complete it | f the organization answered "Yes | " on Form 990, Part | IV, line 16. | |
|---|------------|--------------------------|--------------------------|----------------------------------|----------------------------------|---------------------------------------|--|
| (a) Type of grant or assistance | (b) Region | (c) Number of recipients | (d) Amount of cash grant | (e) Manner of cash disbursement | (f) Amount of noncash assistance | (g) Description of noncash assistance | (h) Method of valuation (book, FMV, appraisal, other) |
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Schedule F (Form 990) 2019 Part IV Foreign Forms

| 1 | Was the organization a U.S. transferor of property to a foreign corporation during the tax year? If "Yes," the organization may be required to file Form 926, Return by a U.S. Transferor of Property to a Foreign Corporation (see Instructions for Form 926) | Yes | X No |
|---|---|-----|------|
| 2 | Did the organization have an interest in a foreign trust during the tax year? If "Yes," the organization may be required to separately file Form 3520, Annual Return To Report Transactions With Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U.S. Owner (see Instructions for Forms 3520 and 3520-A; don't file with Form 990) | Yes | X No |
| 3 | Did the organization have an ownership interest in a foreign corporation during the tax year? If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons With Respect to Certain Foreign Corporations (see Instructions for Form 5471) | Yes | X No |
| 4 | Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? If "Yes," the organization may be required to file Form 8621, Information Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund (see Instructions for Form 8621) | Yes | X No |
| 5 | Did the organization have an ownership interest in a foreign partnership during the tax year? If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons With Respect to Certain Foreign Partnerships (see Instructions for Form 8865) | Yes | X No |
| 6 | Did the organization have any operations in or related to any boycotting countries during the tax year? If "Yes," the organization may be required to separately file Form 5713, International Boycott Report (see Instructions for Form 5713; don't file with Form 990) | Yes | X No |

Schedule F (Form 990) 2019

Schedule F (Form 990) 2019

SCHEDULE J (Form 990)

Department of the Treasury

Internal Revenue Service

Compensation Information

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

➤ Complete if the organization answered "Yes" on Form 990, Part IV, line 23.

➤ Attach to Form 990.

Open to Bubli

OMB No. 1545-0047

Open to Public Inspection

Name of the organization

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

Employer identification number

MICROBIOME HEALTH RESEARCH INSTITUTE INC Part I Questions Regarding Compensation

46-1681862

| | | | | Yes | No | | |
|------------|--|---|---|-----|----------|--|--|
| 1 a | Check the appropriate box(es) if the organization provided any of the following to | or for a person listed on Form 990, | | | | | |
| | Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items. | | | | | | |
| | First-class or charter travel Housing all | owance or residence for personal use | | | | | |
| | Travel for companions Payments | or business use of personal residence | | | | | |
| | Tax indemnification and gross-up payments Health or s | ocial club dues or initiation fees | | | | | |
| | Discretionary spending account Personal se | ervices (such as maid, chauffeur, chef) | | | | | |
| | | | | | | | |
| b | If any of the boxes on line 1a are checked, did the organization follow a written po | olicy regarding payment or | | | | | |
| | reimbursement or provision of all of the expenses described above? If "No," compared to the expense of the expe | olete Part III to explain1 | b | | | | |
| 2 | Did the organization require substantiation prior to reimbursing or allowing expen | ses incurred by all directors, | | | | | |
| | trustees, and officers, including the CEO/Executive Director, regarding the items | checked on line 1a? | 2 | | | | |
| | | | | | | | |
| 3 | Indicate which, if any, of the following the organization used to establish the com | pensation of the organization's | | | | | |
| | CEO/Executive Director. Check all that apply. Do not check any boxes for method | ds used by a related organization to | | | | | |
| | establish compensation of the CEO/Executive Director, but explain in Part III. | | | | | | |
| | Compensation committee Written em | oloyment contract | | | | | |
| | Independent compensation consultant X Compensa | tion survey or study | | | | | |
| | Form 990 of other organizations X Approval b | y the board or compensation committee | | | | | |
| | | | | | | | |
| 4 | During the year, did any person listed on Form 990, Part VII, Section A, line 1a, w | th respect to the filing | | | | | |
| | organization or a related organization: | | | | | | |
| а | Receive a severance payment or change-of-control payment? | 4 | а | Х | | | |
| b | Participate in, or receive payment from, a supplemental nonqualified retirement p | an?4 | b | | _X_ | | |
| С | Participate in, or receive payment from, an equity-based compensation arrangement | ent? 4 | С | | _X_ | | |
| | If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts to | or each item in Part III. | | | | | |
| | | | | | | | |
| | Only section 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete | lines 5-9. | | | | | |
| 5 | For persons listed on Form 990, Part VII, Section A, line 1a, did the organization p | pay or accrue any compensation | | | | | |
| | contingent on the revenues of: | | | | | | |
| а | The organization? | | а | | _X_ | | |
| | Any related organization? | | b | | _X_ | | |
| | If "Yes" on line 5a or 5b, describe in Part III. | | | | | | |
| 6 | For persons listed on Form 990, Part VII, Section A, line 1a, did the organization p | pay or accrue any compensation | | | | | |
| | contingent on the net earnings of: | | | | | | |
| а | The organization? | 6 | а | | _X_ | | |
| | Any related organization? | | b | | <u> </u> | | |
| | If "Yes" on line 6a or 6b, describe in Part III. | | | | | | |
| 7 | For persons listed on Form 990, Part VII, Section A, line 1a, did the organization p | provide any nonfixed payments | | | | | |
| | not described on lines 5 and 6? If "Yes," describe in Part III | | _ | Х | | | |
| 8 | Were any amounts reported on Form 990, Part VII, paid or accrued pursuant to a | contract that was subject to the | | | | | |
| | initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes | s," describe in Part III | 3 | | _X_ | | |
| 9 | If "Yes" on line 8, did the organization also follow the rebuttable presumption pro- | | | | | | |
| | Regulations section 53.4958-6(c)? | |) | | | | |

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule J (Form 990) 2019

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

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

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

| (A) Name and Title | | (B) Breakdown of | W-2 and/or 1099-MI | SC compensation | (C) Retirement and other deferred | (D) Nontaxable benefits | (E) Total of columns (B)(i)-(D) | (F) Compensation in column (B) |
|----------------------------------|------|--------------------------|-------------------------------------|---|-----------------------------------|-------------------------|------------------------------------|---|
| | | (i) Base compensation | (ii) Bonus & incentive compensation | (iii) Other reportable compensation | compensation | Derients | (B)(I)-(U) | reported as deferred on prior Form 990 |
| (1) STEVEN WEINSTEIN | (i) | 266,142. | 0. | 0. | 3,808. | 10,348. | 280,298. | 0. |
| INTERIM COO | (ii) | 0. | 0. | 0. | 0. | 0. | 0. | 0. |
| (2) JAMES SIGLER | (i) | 129,231. | 1,616. | 0. | 3,926. | 21,962. | 156,735. | 0. |
| EXEC. VP, CMC & SITE HEAD | (ii) | 0. | 0. | 0. | 0. | 0. | 0. | 0. |
| (3) MAJDI OSMAN, MD | (i) | 155,700. | 1,573. | 0. | 4,718. | 7,211. | 169,202. | 0. |
| CLINICAL PROGRAM DIRECTOR | (ii) | 0. | 0. | 0. | 0. | 0. | 0. | 0. |
| (4) CHARLES YOUNG | (i) | 127,146. | 1,631. | 0. | 3,863. | 18,704. | 151,344. | 0. |
| SR. DIR. & HEAD OF MANUFACTURING | (ii) | 0. | 0. | 0. | 0. | 0. | 0. | 0. |
| | (i) | | | | | | | |
| | (ii) | | | | | | | |
| | (i) | | | | | | | |
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| | (ii) | | | | | | <u> </u> | |

Part III Supplemental Information

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

PART I, LINE 3:

MEMBERS OF THE BOARD OF DIRECTORS MUST APPROVE OFFICER COMPENSATION. THIS

COMPENSATION IS REVIEWED ANNUALLY AGAINST INDUSTRY AND MARKET COMPARABLES,

USING PAYSCALE SOFTWARE. COMPENSATION IS SET BY INDEPENDENT PERSONS AND

DOCUMENTED CONTEMPORANEOUSLY.

PART I, LINE 4A:

KATHLEEN GALLAGHER, DIRECTOR OF FINANCE (UNTIL AUG. 2019), RECEIVED A

SEVERANCE PAYMENT IN THE AMOUNT OF \$9,615.

PART I, LINE 7:

THE BOARD REVIEWS THE FINANCIALS AND HAS THE OPTION EACH YEAR TO DECLARE

SOME OR NO BONUSES. IF THE BOARD DECIDES TO GIVE A BONUS, AN OVERALL

PERCENTAGE IS RECOMMENDED. A STAFF LIST IS THEN DEVELOPED BASED ON THE

RECOMMENDATION AND REVIEWED BY TOP LEADERSHIP, WHERE PERFORMANCE BASED

ADJUSTMENTS MAY BE MADE.

SCHEDULE O

(Form 990 or 990-EZ)

Department of the Treasury

Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

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

Attach to Form 990 or 990-EZ.

n. Open to Public

► Go to www.irs.gov/Form990 for the latest information.

Name of the organization

MICROBIOME HEALTH RESEARCH INSTITUTE INC

Employer identification number 46-1681862

OMB No. 1545-0047

Inspection

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| INC. | (ALSO | KNOW | N AS | OPE | NBI | OME) | IS | то | EXPA | ND | SAFI | E AC | CES | S T | O FI | EC <i>I</i> | AL | | |
| MICROE | BIOTA | TRAN | SPLA | NTAT | ON | AND | то | CAT | ALYZ | E R | ESE <i>I</i> | ARCH | IN' | TO ' | THE | ЭΗ | JMAN | Ī | |
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FORM 990, PART VI, SECTION A, LINE 2:

JAMES BURGESS AND MARK SMITH HAVE A BUSINESS RELATIONSHIP.

MARK SMITH AND CAROLYN EDELSTEIN HAVE A FAMILY RELATIONSHIP.

FORM 990, PART VI, SECTION B, LINE 11B:

COPIES OF THE COMPLETED DRAFT FORM 990 (INCLUDING REQUIRED SCHEDULES) WILL

BE DISTRIBUTED TO THE AUDIT COMMITTEE MEMBERS BY EITHER ELECTRONIC OR PAPER

FORM FOR REVIEW AND APPROVAL. ANY QUESTIONS OR CONCERNS WILL BE NOTED AND

ADDRESSED, AND MANAGEMENT STAFF WILL ENSURE THAT CHANGES ARE INCORPORATED

INTO THE FORM 990 AS APPROPRIATE.

AFTER ALL INPUT HAS BEEN APPROPRIATELY ADDRESSED, THE FINAL VERSION OF THE FORM 990 (WITH REQUIRED SCHEDULES) WILL BE DISTRIBUTED TO EVERY VOTING

MEMBER OF THE ORGANIZATION'S BOARD OF DIRECTORS PRIOR TO FILING WITH THE IRS. THE FINAL FORM MAY BE DISTRIBUTED EITHER IN PAPER OR ELECTRONIC FORM IN ANY MANNER DEEMED APPROPRIATE BY THE ORGANIZATION'S DIRECTOR OF FINANCE AND ADMINISTRATION.

FORM 990, PART VI, SECTION B, LINE 12C:

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule O (Form 990 or 990-EZ) (2019)

932211 09-06-19

| MICROBIOME HEALTH RESEARCH INSTITUTE INC 46-1681862 |
|---|
| ALL STAFF, OFFICERS, AND DIRECTORS ARE REQUIRED TO SIGN THE CONFLICT OF |
| INTEREST POLICY AND DISCLOSE ANY POTENTIAL OR PERCEIVED CONFLICTS TO |
| MANAGEMENT. ANY CONFLICTS OF INTEREST DISCLOSED ARE DISCUSSED BY THE BOARD |
| OF DIRECTORS AND MANAGEMENT. |
| |
| FORM 990, PART VI, SECTION B, LINE 15: |
| MEMBERS OF THE BOARD OF DIRECTORS MUST APPROVE OFFICER COMPENSATION. THIS |
| COMPENSATION IS REVIEWED ANNUALLY AGAINST INDUSTRY AND MARKET COMPARABLES, |
| USING PAYSCALE SOFTWARE. COMPENSATION IS SET BY INDEPENDENT PERSONS AND |
| DOCUMENTED CONTEMPORANEOUSLY. |
| |
| FORM 990, PART VI, SECTION C, LINE 19: |
| FORM 990S AND ANNUAL AUDITED FINANCIAL STATEMENTS ARE POSTED ON THE COMPANY |
| WEBSITE, WWW.OPENBIOME.ORG, AS WELL AS GUIDESTAR.ORG. |
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