

# Application for Recognition of Exemption

## Under Section 501(c)(3) of the Internal Revenue Code

For Paperwork Reduction Act Notice, see page 1 of the instructions.

To be filed in the key district for the area in which the organization has its principal office or place of business.

This application, when properly completed, constitutes the notice required under section 508(a) of the Internal Revenue Code so that an applicant may be treated as described in section 501(c)(3) of the Code, and the notice required under section 508(b) for an organization claiming not to be a private foundation within the meaning of section 509(a). (Read the instructions for each part carefully before making any entries.) The organization must have an organizing instrument (see Part II) before this application may be filed.

### Part I—Identification

1 Full name of organization Maureen and Mike Mansfield Foundation		2 Employer identification number (If none, attach Form SS-4) None	
3(a) Address (number and street) University of Montana School of Law		Check here if applying under section: <input type="checkbox"/> 501(e) <input type="checkbox"/> 501(f)	
3(b) City or town, State, and ZIP code Missoula, MT 59812		4 Name and phone number of person to be contacted John O. Mudd 406 ) 243-4311	
5 Month the annual accounting period ends June	6 Date incorporated or formed March 3, 1983	7 Activity codes 602   093   119	
8(a) Has the organization filed Federal income tax returns? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," state the form number(s), year(s) filed, and Internal Revenue office where filed ▶			
8(b) Has the organization filed exempt organization information returns? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," state the form number(s), year(s) filed, and Internal Revenue office where filed ▶			

### Part II.—Type of Entity and Organizational Documents (see instructions)

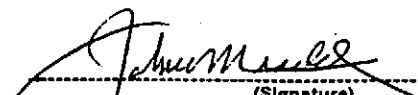
Check the applicable entity box below and attach a conformed copy of the organization's organizing and operational documents as indicated for each entity.

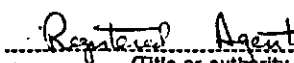
Corporation—Articles of incorporation, bylaws.  Trust—Trust indenture.  Other—Constitution or articles, bylaws.

### Part III.—Activities and Operational Information

- What are or will be the organization's sources of financial support? List in order of magnitude. If a part of the receipts is or will be derived from the earnings of patents, copyrights, or other assets (excluding stock, bonds, etc.), identify the item as a separate source of receipts. Attach representative copies of solicitations for financial support.  
A fifteen million dollar (\$15,000,000) capital campaign for Foundation endowment has been initiated. Major sources include:  
- United States Government - Congressional appropriation - five million dollars (\$5,000,000) tent. September, 1984.  
- State of Montana - Legislative appropriation - one million dollars (\$1,000,000) matching fund pledge  
- United States Foundations and Corporations - five million dollars (\$5,000,000) April, 1983  
- International Foundations and Corporations - four million dollars (\$4,000,000)
- Describe the organization's fund-raising program, both actual and planned, and explain to what extent it has been put into effect. (Include details of fund-raising activities such as selective mailings, formation of fund-raising committees, use of professional fund raisers, etc.) Funds raised by the Mansfield Foundation are to be distributed solely for the benefit of the Mansfield Center for Pacific Affairs and the Maureen and Mike Mansfield Center at the University of Montana. Staff members from both centers have developed a fund-raising program for the Mansfield Foundation (see attached promotional materials). This program involves individual and group contacts with corporate, foundation and government leaders. International foundations and corporations will be approached for participation in the program consequent upon the retirement of Ambassador Mansfield.

I declare under the penalties of perjury that I am authorized to sign this application on behalf of the above organization and I have examined this application, including the accompanying statements, and to the best of my knowledge it is true, correct, and complete.

  
(Signature)  
John O. Mudd, Attorney at Law

  
(Title or authority of signer)  
Registered Agent  
Maureen and Mike Mansfield Foundation

6/1/83  
(Date)

**Part III.—Activities and Operational Information (Continued)**

- 3 Give a narrative description of the activities presently carried on by the organization, and those that will be carried on. If the organization is not fully operational, explain what stage of development its activities have reached, what further steps remain for the organization to become fully operational, and when such further steps will take place. The narrative should specifically identify the services performed or to be performed by the organization. (Do not state the purposes of the organization in general terms or repeat the language of the organizational documents.) If the organization is a school, hospital, or medical research organization, include enough information in your description to clearly show that the organization meets the definition of that particular activity that is contained in the instructions for Part VII-A. The Maureen and Mike Mansfield

Foundation is the supporting organization for two newly created institutions in Montana: The Mansfield Center for Pacific Affairs & the Maureen & Mike Mansfield Center at the University of Montana. Together, the two centers honor the career of a Montanan who has become a world leader, and, in doing so, they will bring a prominent role to Montana in the development of east-west trade and cultural relations.

The Mansfield Center for Pacific Affairs, to be constructed at Flathead Lake, will bring leaders from business, government, and culture from throughout the nations of the Pacific to participate in conferences and seminars on the developing economic ties of this region. It is anticipated that the Center will host more than 60 such meetings each year on subjects ranging from agricultural trade to educational exchange programs.

The Center's progress is keyed to the unparalleled growth which has characterized trade in the Pacific Basin during the past two decades. This growth is expected to continue into the twenty-first century, and the states of the Western United States, particularly Montana, will play a central role in the trade. Through the Center Montana will be able to provide a leadership role in fostering economic growth through trade and in guiding it into modes which are beneficial to all. The Center will also be a leader in improving international understanding and in eliminating cultural barriers which have impeded exchanges across the Pacific.

The Maureen and Mike Mansfield Center at the University of Montana will conduct academic programs related to Pacific area studies, ethics and public affairs. Through opening new opportunities for research and study, the University programs will enhance Montana's role in these fields and will attract leaders from academic and public life to the state. The two Centers will sponsor cooperative programs designed to build upon their complementary relationship, such as hosting major conferences on Pacific area trade, political and cultural relations. Among their specific benefits, the Centers will: (1) Honor one of the most distinguished political leaders ever to come from Montana; (2) Attract key decision-makers from the nations of the Pacific to Montana; (3) Allow Montana to take a leadership position among the states of the west in stimulating and regulating east-west trade; (4) Enhance Montana's image and visibility throughout the most economically dynamic and populous region of the world; (5) aid Montana to become seen as the primary site of the United States for high level conferences on Pacific trade and political issues; (6) Build Montana's role as a leader in education & culture, particularly in the field of international exchange; (7) attract matching funds in a more than 10-to-1 ratio from business and government sources outside of Montana (8) Build an endowment and facilities which will continue to grow and have economic benefits to the state far into the future; (9) Draw additional tourist interest in Montana as side-effects of the meetings and seminars; (10) Stimulate the advancement of the arts and humanities in Montana.

4 The membership of the organization's governing body is:

(a) Names, addresses, and duties of officers, directors, trustees, etc.	(b) Specialized knowledge, training, expertise, or particular qualifications
See Exhibit #1	None Required

Part III.—Activities and Operational Information (Continued)

4 (c) Do any of the above persons serve as members of the governing body by reason of being public officials or being appointed by public officials? . . . . .  Yes  No  
If "Yes," name those persons and explain the basis of their selection or appointment.

Senator Henry Jackson (D) Washington  
Senator Max Baucus (D) Montana  
Governor Ted Schwinden (D) Montana

(d) Are any members of the organization's governing body "disqualified persons" with respect to the organization (other than by reason of being a member of the governing body) or do any of the members have either a business or family relationship with "disqualified persons?" (See specific Instruction 4(d).) . . .  Yes  No  
If "Yes," explain.

(e) Have any members of the organization's governing body assigned income or assets to the organization? .  Yes  No  
If "Yes," attach a copy of assignment(s) and a list of items assigned.

(f) Is it anticipated that any current or future member of the organization's governing body will assign income or assets to the organization? . . . . .  Yes  No  
If "Yes," explain fully on an attached sheet.

5 Does the organization control or is it controlled by any other organization? . . . . .  Yes  No  
Is the organization the outgrowth of another organization, or does it have a special relationship to another organization by reason of interlocking directorates or other factors? . . . . .  Yes  No  
If either of these questions is answered "Yes," explain.

6 Is the organization financially accountable to any other organization? . . . . .  Yes  No  
If "Yes," explain and identify the other organization. Include details concerning accountability or attach copies of reports if any have been submitted.

7 (a) What assets does the organization have that are used in the performance of its exempt function? (Do not include property producing investment income.) If any assets are not fully operational, explain their status, what additional steps remain to be completed, and when such final steps will be taken. As of 6/1/83, the Corporation had no assets. Future assets will be used as follows: 3-5% for operational costs for the Corporation. Remaining assets will be used for endowment of programs and facilities for the Centers.  
(b) To what extent have you used, or do you plan to use contributions as an endowment fund, i.e., hold contributions to produce income for the support of your exempt activities? Funds will be distributed to the Centers for endowment of programs and facilities as per Articles of Incorporation, Sec.3.(attached)

8 (a) What benefits, services, or products will the organization provide that are related to its exempt function?

Part III.—Activities and Operational Information (Continued)

8 (b) Have the recipients been required or will they be required to pay for the organization's benefits, services, or products? . . . . .  Yes  No
If "Yes," explain and show how the charges are determined.

9 Does or will the organization limit its benefits, services, or products to specific classes of individuals? . . .  Yes  No
If "Yes," explain how the recipients or beneficiaries are or will be selected.

10 Is the organization a membership organization? . . . . .  Yes  No
If "Yes," complete the following:

(a) Describe the organization's membership requirements and attach a schedule of membership fees and dues.

(b) Describe your present and proposed efforts to attract members, and attach a copy of any descriptive literature or promotional material used for this purpose.

(c) Are benefits, services, or products limited to members? . . . . .  Yes  No
If "No," explain.

11 Does or will the organization engage in activities tending to influence legislation or intervene in any way in political campaigns? . . . . .  Yes  No
If "Yes," explain. (Note: You may wish to file Form 5768, Election/Revocation of Election by an Eligible Section 501(c)(3) Organization to Make Expenditures to Influence Legislation.)

12 Does the organization have a pension plan for employees? . . . . .  Yes  No

13 (a) Are you filing Form 1023 within 15 months from the end of the month in which you were created or formed as required by section 508(a) and the related Regulations? (See general instructions.) . . .  Yes  No

(b) If you answer "No," to 13(a) and you claim that you fit an exception to the notice requirements under section 508(a), attach an explanation of your basis for the claimed exception.

(c) If you answer "No," to 13(a) and section 508(a) does apply to you, you may be eligible for relief under section 1.9100 of the Income Tax Regulations from the application of section 508(a). Do you wish to request relief? . . . . .  Yes  No

(d) If you answer "Yes," to 13(c) attach a detailed statement that satisfies the requirements of Rev. Proc. 79-63.

(e) If you answer "No," to both 13(a) and 13(c) and section 508(a) does apply to you, your exemption can be recognized only from the date this application is filed with your key District Director. Therefore, do you want us to consider your application as a request for recognition of exemption from the date the application is received and not retroactively to the date you were formed? . . . . .  Yes  No

Part IV.—Statement as to Private Foundation Status

1 Is the organization a private foundation? . . . . .  Yes  No

2 If you answer "Yes," to question 1 and the organization claims to be a private operating foundation, check here  and complete Part VIII.

3 If you answer "No," to question 1 indicate the type of ruling you are requesting regarding the organization's status under section 509 by checking the box(es) that apply below:

(a) Definitive ruling under section 509(a)(1), (2), (3), or (4) . Complete Part VII.

(b) Advance ruling under section  170(b)(1)(A)(vi) or  509(a)(2)—see instructions.

(c) Extended advance ruling under section  170(b)(1)(A)(vi) or  509(a)(2)—see instructions.

(Note: If you want an extended advance ruling you must check the appropriate boxes for both 3(b) and 3(c).)

(estimated) Statement of Support, Revenue, and Expenses for period ending June 30, 1984.

Support and Revenue	1	Gross contributions, gifts, grants, and similar amounts received . . . . .	1	500,000
	2	Gross dues and assessments of members . . . . .	2	
	3	(a) Gross amounts derived from activities related to organization's exempt purpose . . . . .	3	
		(b) Minus cost of sales . . . . .		
	4	(a) Gross amounts from unrelated business activities . . . . .	4	
		(b) Minus cost of sales . . . . .		
	5	(a) Gross amount received from sale of assets, excluding inventory items (attach schedule) . . . . .	5	
	(b) Minus cost or other basis and sales expenses of assets sold . . . . .			
	6	Investment income (see instructions) . . . . .	6	
	7	<b>Total support and revenue . . . . .</b>	7	500,000
Expenses	8	8 Fund raising expenses . . . . .	8	50,000
	9	9 Contributions, gifts, grants, and similar amounts paid (attach schedule) . . . . .	9	
	10	10 Disbursements to or for benefit of members (attach schedule) . . . . .	10	
	11	11 Compensation of officers, directors, and trustees (attach schedule) . . . . .	11	
	12	12 Other salaries and wages . . . . .	12	
	13	13 Interest . . . . .	13	
	14	14 Rent . . . . .	14	
	15	15 Depreciation and depletion . . . . .	15	
	16	16 Other (attach schedule) . . . . .	16	
	17	<b>Total expenses . . . . .</b>	17	50,000
	18	<b>Excess of support and revenue over expenses (line 7 minus line 17) . . . . .</b>	18	450,000

Balance Sheets		Enter dates ▶	Beginning date	Ending date
<b>Assets</b>				
19	Cash (a) Interest bearing accounts . . . . .	19		
	(b) Other . . . . .			
20	20 Accounts receivable, net . . . . .	20		
21	21 Inventories . . . . .	21		
22	22 Bonds and notes (attach schedule) . . . . .	22		
23	23 Corporate stocks (attach schedule) . . . . .	23		
24	24 Mortgage loans (attach schedule) . . . . .	24		
25	25 Other investments (attach schedule) . . . . .	25		
26	26 Depreciable and depletable assets (attach schedule) . . . . .	26		
27	27 Land . . . . .	27		
28	28 Other assets (attach schedule) . . . . .	28		
29	<b>Total assets . . . . .</b>	29		
<b>Liabilities</b>				
30	30 Accounts payable . . . . .	30		
31	31 Contributions, gifts, grants, etc., payable . . . . .	31		
32	32 Mortgages and notes payable (attach schedule) . . . . .	32		
33	33 Other liabilities (attach schedules) . . . . .	33		
34	<b>Total liabilities . . . . .</b>	34		
<b>Fund Balances or Net Worth</b>				
35	35 Total fund balances or net worth . . . . .	35		
36	36 <b>Total liabilities and fund balances or net worth (line 34 plus line 35) . . . . .</b>	36		

Has there been any substantial change in any aspect of your financial activities since the period ending date shown above?  Yes  No  
 If "Yes," attach a detailed explanation.

Part VI.—Required Schedules for Special Activities	If "Yes," check here:	And, complete schedule—
1 Is the organization, or any part of it, a school? . . . . .		A
2 Does the organization provide or administer any scholarship benefits, student aid, etc.? . . . .		B
3 Has the organization taken over, or will it take over, the facilities of a "for profit" institution? . . . .		C
4 Is the organization, or any part of it, a hospital or a medical research organization? . . . . .		D
5 Is the organization, or any part of it, a home for the aged? . . . . .		E
6 Is the organization, or any part of it, a litigating organization (public interest law firm or similar organization)? . . . .		F
7 Is the organization, or any part of it, formed to promote amateur sports competition? . . . . .		G

**Part VII.—Non-Private Foundation Status (Definitive ruling only)**

**A.—Basis for Non-Private Foundation Status**

The organization is not a private foundation because it qualifies as:

	✓	Kind of organization	Within the meaning of	Complete
1		a church	Sections 509(a)(1) and 170(b)(1)(A)(i)	
2		a school	Sections 509(a)(1) and 170(b)(1)(A)(ii)	
3		a hospital	Sections 509(a)(1) and 170(b)(1)(A)(iii)	
4		a medical research organization operated in conjunction with a hospital	Sections 509(a)(1) and 170(b)(1)(A)(iii)	
5		being organized and operated exclusively for testing for public safety	Section 509(a)(4)	
6		being operated for the benefit of a college or university which is owned or operated by a governmental unit	Sections 509(a)(1) and 170(b)(1)(A)(iv)	Part VII.-B
7		normally receiving a substantial part of its support from a governmental unit or from the general public	Sections 509(a)(1) and 170(b)(1)(A)(vi)	Part VII.-B
8		normally receiving not more than one-third of its support from gross investment income and more than one-third of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions (subject to certain exceptions)	Section 509(a)(2)	Part VII.-B
9		being operated solely for the benefit of or in connection with one or more of the organizations described in 1 through 4, or 6, 7, and 8 above	Section 509(a)(3)	Part VII.-C

**B.—Analysis of Financial Support**

	(a) Most recent tax year 19.....	(Years next preceding most recent tax year)			(e) Total
		(b) 19.....	(c) 19.....	(d) 19.....	
1 Gifts, grants, and contributions received . . . . .					
2 Membership fees received . . . . .					
3 Gross receipts from admissions, sales of merchandise or services, or furnishing of facilities in any activity which is not an unrelated business within the meaning of section 513 . . . . .					
4 Gross investment income (see instructions for definition) . . . . .					
5 Net income from organization's unrelated business activities not included on line 4 . . . . .					
6 Tax revenues levied for and either paid to or spent on behalf of the organization . . . . .					
7 Value of services or facilities furnished by a governmental unit to the organization without charge (not including the value of services or facilities generally furnished the public without charge) . . . . .					
8 Other income (not including gain or loss from sale of capital assets)—attach schedule . . . . .					
9 Total of lines 1 through 8 . . . . .					
10 Line 9 minus line 3 . . . . .					
11 Enter 2% of line 10, column (e) only . . . . .					

12 If the organization has received any unusual grants during any of the above tax years, attach a list for each year showing the name of the contributor, the date and amount of grant, and a brief description of the nature of such grant. Do not include such grants on line 1 above—(See instructions).

## MAUREEN AND MIKE MANSFIELD FOUNDATION

Appointees from the Maureen and Mike Mansfield Center at the University of Montana:

Senator Max Baucus  
Hart Senate Office Building  
Washington, D.C. 20510

Dr. Neil S. Bucklew, President  
Office of the President  
University of Montana  
Missoula, MT 59812

Daniel Lambros  
Lambros Realty  
1001 S. Higgins Avenue  
Missoula, MT 59801

Professor Paul Lauren  
Department of History  
University of Montana  
Missoula, MT 59812

Governor Ted Schwinden  
Executive Office  
Room 204, State Capitol  
Helena, MT 59601

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Appointees from the Mansfield Center for Pacific Affairs:

James Hodge  
Columbia Chemical Co.  
1216 Bozeman Avenue  
Helena, MT 59601

Dr. Ken Pyle  
Director, School of International Studies  
University of Washington  
Seattle, WA 98195

Senator Henry Jackson  
United States Senate  
Room 137  
Russell Office Building  
Washington D.C. 20036

Dr. Bruce Sievers, Director  
California Council for the Humanities  
Suite 601  
312 Sutter  
San Francisco, CA 94108

J. Stanley Kimmitt  
Vice President Hughes Helicopter  
1140 Connecticut Avenue, N.W.  
Suite 1005  
Washington, D.C. 20036





PART V - ATTACHMENT 2

ESTIMATED SUPPORT AND REVENUE

For the Period July 1, 1983 - June 30, 1984 and July 1, 1984 - June 30, 1985

A. Estimated Support and Revenue: July 1, 1983 - June 30, 1984

1. Gross contributions, gifts, grants and similar amounts received:

Estimate eight (8) major private corporation/  
foundation gifts; two (2) gifts at \$100,000,  
six (6) gifts at \$50,000

Total: July 1, 1983 - June 30, 1984 \$ 500,000

B. Estimated Support and Revenue: July 1, 1984 - June 30, 1985 (See Attachment V.1)

1. Gross contributions, gifts, grants and similar amounts received:

a. United States Federal Government Congressional Appropriation \$5,000,000

b. State of Montana - Matching Grant 1,000,000

c. Corporation and Foundation Gifts:

Two at \$250,000, three at \$100,000,  
Four at \$50,000 1,000,000

TOTAL: July 1, 1984 - June 30, 1985 7,000,000

GRAND TOTAL: July 1, 1983 - June 30, 1985 \$7,500,000