

Form **990**
Department of the Treasury
Internal Revenue Service

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except 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
2019
Open to Public Inspection

A For the 2019 calendar year, or tax year beginning 07-01-2019, and ending 06-30-2020

B Check if applicable:
 Address change
 Name change
 Initial return
 Final return/terminated
 Amended return
 Application pending

C Name of organization
ROCKY MOUNTAIN INSTITUTE

Doing business as

Number and street (or P.O. box if mail is not delivered to street address) Room/suite
2490 JUNCTION PLACE SUITE 200

City or town, state or province, country, and ZIP or foreign postal code
BOULDER, CO 80301

D Employer identification number
74-2244146

E Telephone number
(303) 245-1003

G Gross receipts \$ 61,864,266

F Name and address of principal officer:
JULES KORTENHORST
2490 JUNCTION PLACE SUITE 200
BOULDER, CO 80301

H(a) Is this a group return for subordinates? Yes No
H(b) Are all subordinates included? Yes No
If "No," attach a list. (see instructions)
H(c) Group exemption number ▶

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

J Website: ▶ WWW.RMI.ORG

K Form of organization: Corporation Trust Association Other ▶

L Year of formation: 1982

M State of legal domicile: CO

Part I Summary

1 Briefly describe the organization's mission or most significant activities:
OUR MISSION IS TO TRANSFORM GLOBAL ENERGY USE TO CREATE A CLEAN, PROSPEROUS, AND SECURE LOW-CARBON FUTURE.

2 Check this box if the organization discontinued its operations or disposed of more than 25% of its net assets.

3 Number of voting members of the governing body (Part VI, line 1a)	3	20
4 Number of independent voting members of the governing body (Part VI, line 1b)	4	17
5 Total number of individuals employed in calendar year 2019 (Part V, line 2a)	5	261
6 Total number of volunteers (estimate if necessary)	6	17
7a Total unrelated business revenue from Part VIII, column (C), line 12	7a	0
7b Net unrelated business taxable income from Form 990-T, line 39	7b	0

	Prior Year	Current Year
8 Contributions and grants (Part VIII, line 1h)	44,756,600	51,847,182
9 Program service revenue (Part VIII, line 2g)	8,711,812	9,921,955
10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	-17,570	53,134
11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	51,239	41,995
12 Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	53,502,081	61,864,266
13 Grants and similar amounts paid (Part IX, column (A), lines 1–3)	0	600,000
14 Benefits paid to or for members (Part IX, column (A), line 4)	0	0
15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)	26,176,572	32,375,176
16a Professional fundraising fees (Part IX, column (A), line 11e)	75,000	0
b Total fundraising expenses (Part IX, column (D), line 25) ▶ 2,439,437		
17 Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	18,693,443	19,644,557
18 Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25)	44,945,015	52,619,733
19 Revenue less expenses. Subtract line 18 from line 12	8,557,066	9,244,533
	Beginning of Current Year	End of Year
20 Total assets (Part X, line 16)	47,374,815	59,543,794
21 Total liabilities (Part X, line 26)	12,131,611	15,357,565
22 Net assets or fund balances. Subtract line 21 from line 20	35,243,204	44,186,229

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here *****
Signature of officer _____ Date 2021-03-25
JULES KORTENHORST CEO
Type or print name and title _____

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date 2021-03-25	Check <input type="checkbox"/> if self-employed	PTIN P01506476
Firm's name ▶ PLANTE & MORAN PLLC			Firm's EIN ▶ 38-1357951	
Firm's address ▶ 10 S RIVERSIDE PLAZA 9TH FLOOR CHICAGO, IL 60606			Phone no. (312) 207-1040	

Part 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:

OUR MISSION IS TO TRANSFORM GLOBAL ENERGY USE TO CREATE A CLEAN, PROSPEROUS, AND SECURE LOW-CARBON FUTURE.

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? Yes No

If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? Yes No

If "Yes," describe these changes on Schedule O.

4 Describe the 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 revenue, if any, for each program service reported.

4a (Code:) (Expenses \$ 6,588,663 including grants of \$) (Revenue \$ 1,349,472)
See Additional Data

4b (Code:) (Expenses \$ 6,031,563 including grants of \$) (Revenue \$ 1,865,444)
See Additional Data

4c (Code:) (Expenses \$ 5,958,098 including grants of \$) (Revenue \$ 1,914,270)
See Additional Data

See Additional Data Table

4d Other program services (Describe in Schedule O.)
(Expenses \$ 25,234,775 including grants of \$ 600,000) (Revenue \$ 4,793,494)

4e Total program service expenses ▶ 43,813,099

Part IV Checklist of Required Schedules

Table with 3 columns: Question ID, Question Text, and Yes/No response. Rows include questions 1 through 21, with sub-questions a-f for items 11 and 14. Questions cover topics like organization type, lobbying, donor funds, conservation easements, and financial reporting.

Part IV Checklist of Required Schedules (continued)

Table with 3 main columns: Question/Description, Yes, No. Rows include questions 22 through 38 regarding grants, compensation, tax-exempt bonds, excess benefit transactions, and related parties.

Part 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 []

Table with 3 main columns: Question/Description, Yes, No. Rows include 1a (Form 1096), 1b (Forms W-2G), and 1c (gambling winnings).

Part V Statements Regarding Other IRS Filings and Tax Compliance (continued)

Table with 16 main rows (2a-16) and sub-rows (a, b, c, d, e, f, g, h). Columns include question text, a box for '2a' (with value 261), and three columns for 'Yes/No' responses.

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



Section A. Governing Body and Management

Table with 5 columns: Question, 1a, 1b, Yes, No. Rows include questions about voting members, family relationships, management delegation, and governance decisions.

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

Table with 5 columns: Question, Yes, No. Rows include questions about local chapters, conflict of interest policies, whistleblower policies, and compensation review processes.

Section C. Disclosure

Table with 2 columns: Question, Answer. Row 17 lists states where Form 990 is required. Row 18 asks about public inspection of Form 1023. Row 19 asks about public availability of governing documents. Row 20 asks for name and address of the person with books and records.

Part VIII Statement of Revenue

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

Table with 5 columns: (A) Total revenue, (B) Related or exempt function revenue, (C) Unrelated business revenue, (D) Revenue excluded from tax under sections 512 - 514. Rows include 1a-1g for Federated campaigns, membership dues, fundraising events, related organizations, government grants, and other contributions, totaling 51,847,182.

Table for Program Service Revenue with 5 columns (A-D). Rows include 2a-2f for consulting fees, government and multilateral consu, program event revenue, program membership fees, carbon offsets, and other program service revenue, totaling 9,921,955.

Table for Other Revenue with 5 columns (A-D). Rows include 3-12 for investment income, royalties, rental income, gain from sales of assets, fundraising events, gaming activities, and sales of inventory, totaling 61,864,266.

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 response or note to any line in this Part IX

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21	300,000	300,000		
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.	300,000	300,000		
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	6,144,369	4,203,250	1,649,858	291,261
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	21,086,393	17,698,784	2,124,745	1,262,864
8 Pension plan accruals and contributions (include section 401 (k) and 403(b) employer contributions)	842,355	721,455	78,986	41,914
9 Other employee benefits	2,721,651	2,263,193	308,792	149,666
10 Payroll taxes	1,580,408	1,293,613	202,080	84,715
11 Fees for services (non-employees):				
a Management				
b Legal	493,512	322,014	163,317	8,181
c Accounting	178,282	44,048	134,234	
d Lobbying				
e Professional fundraising services. See Part IV, line 17				
f Investment management fees	5,110		5,110	
g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O)	10,248,331	9,887,781	295,101	65,449
12 Advertising and promotion	387,535	294,914	87,221	5,400
13 Office expenses	1,332,398	842,356	307,006	183,036
14 Information technology	1,497,230	1,273,535	131,691	92,004
15 Royalties				
16 Occupancy	1,650,470	1,458,417	112,884	79,169
17 Travel	1,865,034	1,487,852	271,883	105,299
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings	605,541	537,101	47,764	20,676
20 Interest	303,423		303,423	
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	828,333	676,767	112,461	39,105
23 Insurance	176,436	150,483	15,255	10,698
24 Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a FOREIGN CURRENCY ADJUST	62,451	57,536	4,915	
b PROPERTY TAXES	10,471		10,471	
c				
d				
e All other expenses				
25 Total functional expenses. Add lines 1 through 24e	52,619,733	43,813,099	6,367,197	2,439,437
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 <input type="checkbox"/> if following SOP 98-2 (ASC 958-720).				

Part X Balance Sheet

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

		(A) Beginning of year		(B) End of year
Assets	1 Cash—non-interest-bearing	9,595,372	1	25,946,455
	2 Savings and temporary cash investments		2	
	3 Pledges and grants receivable, net	13,372,784	3	9,945,698
	4 Accounts receivable, net	4,987,659	4	2,621,620
	5 Loans and other 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		5	
	6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B)		6	
	7 Notes and loans receivable, net		7	
	8 Inventories for sale or use		8	
	9 Prepaid expenses and deferred charges	821,396	9	737,725
	10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	19,217,732		
	b Less: accumulated depreciation	3,691,945		
	11 Investments—publicly traded securities		11	
	12 Investments—other securities. See Part IV, line 11	548,401	12	547,102
	13 Investments—program-related. See Part IV, line 11	720,220	13	720,220
	14 Intangible assets	0	14	1,828,583
	15 Other assets. See Part IV, line 11	1,391,418	15	1,670,604
16 Total assets. Add lines 1 through 15 (must equal line 34)	47,374,815	16	59,543,794	
Liabilities	17 Accounts payable and accrued expenses	4,928,544	17	4,971,435
	18 Grants payable		18	
	19 Deferred revenue	782,672	19	544,761
	20 Tax-exempt bond liabilities		20	
	21 Escrow or custodial account liability. Complete Part IV of Schedule D		21	
	22 Loans and other 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		22	
	23 Secured mortgages and notes payable to unrelated third parties	5,969,068	23	9,604,632
	24 Unsecured notes and loans payable to unrelated third parties		24	
	25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17 - 24). Complete Part X of Schedule D	451,327	25	236,737
	26 Total liabilities. Add lines 17 through 25	12,131,611	26	15,357,565
Net Assets or Fund Balances	Organizations that follow FASB ASC 958, check here <input checked="" type="checkbox"/> and complete lines 27, 28, 32, and 33.			
	27 Net assets without donor restrictions	12,314,363	27	17,767,122
	28 Net assets with donor restrictions	22,928,841	28	26,419,107
	Organizations that do not follow FASB ASC 958, check here <input type="checkbox"/> and complete lines 29 through 33.			
	29 Capital stock or trust principal, or current funds		29	
	30 Paid-in or capital surplus, or land, building or equipment fund		30	
	31 Retained earnings, endowment, accumulated income, or other funds		31	
32 Total net assets or fund balances	35,243,204	32	44,186,229	
33 Total liabilities and net assets/fund balances	47,374,815	33	59,543,794	

Part 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	61,864,266
2	Total expenses (must equal Part IX, column (A), line 25)	2	52,619,733
3	Revenue less expenses. Subtract line 2 from line 1	3	9,244,533
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	35,243,204
5	Net unrealized gains (losses) on investments	5	31,081
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 in Schedule O)	9	-332,589
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	44,186,229

Part XII Financial Statements and Reporting

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

- 1** Accounting method used to prepare the Form 990: Cash Accrual Other _____
 If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.
- 2a** Were the organization's financial statements compiled or reviewed by an independent accountant?
 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?
 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:
 Separate basis Consolidated basis Both consolidated and separate basis
- c** If "Yes," to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?
 If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.
- 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?
- b** If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits.

	Yes	No
2a		No
2b	Yes	
2c	Yes	
3a		No
3b		

Additional Data

Software ID:

Software Version:

EIN: 74-2244146

Name: ROCKY MOUNTAIN INSTITUTE

Form 990 (2019)

Form 990, Part III, Line 4a:

EMPOWERING CLEAN ECONOMIES - SUPPORTING LOW AND MIDDLE-INCOME COUNTRIES CAN HELP MEET AMBITIOUS CLIMATE TARGETS ESTABLISHED AS PART OF THE PARIS AGREEMENT, WHILE ALSO PROVIDING RELIABLE, AFFORDABLE ENERGY ACCESS TO PEOPLE WHOSE HEALTH AND LIVELIHOODS DEPEND ON IT, BY EMBRACING AND MAXIMIZING THE CONTRIBUTIONS OF CLEAN ENERGY SOLUTIONS IN THEIR NATIONAL SETTINGS. SUPPORTING INITIATIVES INCLUDE: 1) SUSTAINABLE ENERGY FOR ECONOMIC DEVELOPMENT - SPEEDING UP ACCESS TO CLEAN ELECTRICITY IN SUB-SAHARAN AFRICA AS A MEANS TO IMPROVE QUALITY OF LIFE AND UNDERPIN ECONOMIC DEVELOPMENT.2) ISLANDS ENERGY PROGRAM - ADVANCING THE TRANSITION OF ISLAND ECONOMIES FROM FOSSIL FUEL DEPENDENCE TO A MORE RESILIENT AND AFFORDABLE ENERGY FUTURE POWERED BY EFFICIENCY AND RENEWABLES.

Form 990, Part III, Line 4b:

ELECTRICITY CREATING A CLEAN, RESILIENT, AND AFFORDABLE ELECTRICITY SYSTEM THAT PRODUCES LESS POLLUTION AND CLIMATE-ALTERING CO2. SUPPORTING INITIATIVES INCLUDE: 1) REGULATORY AND BUSINESS MODEL REFORM WORKING WITH UTILITIES AND STATE REGULATORY COMMISSIONS TO EVOLVE BUSINESS AND REGULATORY MODELS AND ADVANCE MORE MODERN ELECTRICITY RATE STRUCTURES. WE AIM TO SUPPORT THREE TO FIVE STATES THAT ARE COMMITTED TO REGULATORY AND BUSINESS MODEL REFORM THAT WILL DRIVE A RENEWABLY POWERED ELECTRICITY SYSTEM BY 2020.2) ELECTRICITY INNOVATION LAB (E-LAB) CONVENING INDUSTRY PLAYERS TO IDENTIFY PROMISING REFORM APPROACHES AND STRATEGIZE ON HOW TO SCALE THEM EFFECTIVELY TO TRANSFORM THE ELECTRICITY SYSTEM FROM THE INSIDE OUT.

Form 990, Part III, Line 4c:

INDUSTRY - WE ARE WORKING ON A CRITICAL PIECE OF THE CLIMATE PUZZLE: DECARBONIZING THE WORLD'S GOODS AND SERVICES, INCLUDING HOW THEY ARE DESIGNED, SOURCED, PRODUCED, AND DELIVERED. OUR PLANET IS DROWNING IN EMISSIONS FROM THE PRODUCTION OF GOODS AND THE SERVICES WE USE TO TRANSPORT THEM, AND IT'S CRITICAL WE ADDRESS THIS CRUCIAL SECTOR. OUR WORK INCLUDES: 1. MATERIAL VALUE CHAINS - DECARBONIZING THE MATERIALS THAT GO INTO OUR EVERYDAY GOODS, INCLUDING METALS AND MINERALS, STEEL, AND CEMENT. 2. ENERGY INPUTS - REDUCING THE CARBON INTENSITY OF THE FUELS USED TO PRODUCE AND TRANSPORT GOODS. 3. HEAVY TRANSPORT - WORKING TO DECARBONIZE THE TRUCKS, TRAINS, AIRPLANES, AND SHIPS THAT MOVE PEOPLE AND GOODS AROUND THE WORLD EVERY DAY. 4. COMET - AN ALLIANCE TO CREATE A UNIVERSAL GREENHOUSE GAS (GHG) CALCULATION FRAMEWORK FOR THE MINERAL AND INDUSTRIAL SUPPLY CHAINS. POWERED BY MIT'S SUSTAINABLE SUPPLY CHAINS INITIATIVE, THE COLUMBIA CENTER FOR SUSTAINABLE INVESTMENT, RMI, AND THE COLORADO SCHOOL OF MINES. 5. CLIMATE ACTION ENGINE - AN EMISSIONS DATA PLATFORM THAT WEAVES TOGETHER METHANE EMISSIONS DATA WITH OTHER OIL AND GAS INFORMATION, SUCH AS LOCATION, OWNERSHIP, AND FINANCIAL PERFORMANCE DATA UNDER A SINGLE DATA AND ANALYTICS PLATFORM.

Form 990, Part III - 4 Program Service Accomplishments (See the Instructions)

Describe the exempt purpose achievements for each of the organization's three largest program services by expenses. Section 501(c)(3) and (4) organizations and 4947(a)(1) trusts are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

(Code:) (Expenses \$ 5,401,431 including grants of \$ 600,000) (Revenue \$ 2,841,533)

BUILDINGS: CATALYZING MASSIVE MARKET GROWTH FOR BUILDINGS THAT ARE MORE PRODUCTIVE, VALUABLE, HEALTHY, AND SAFE FOR THE PEOPLE WHO OCCUPY THEM, SOCIETY AND THE PLANET. SUPPORTING INITIATIVES INCLUDE: 1) PORTFOLIO ENERGY OPTIMIZATION - DEVELOPING AND SCALING AN INNOVATIVE AND COST-EFFECTIVE RETROFIT APPROACH TO REDUCE ENERGY USE IN COMMERCIAL BUILDINGS.2) PATHWAYS TO ZERO - DRIVING THE ADOPTION OF SUPEREFFICIENT AND NET-ZERO ENERGY BUILDINGS IN NEW AND EXISTING BUILDING PORTFOLIOS AND AT THE DISTRICT LEVEL, WITH THE GOAL OF SAVING 50 MILLION TONS OF CARBON OVER FIVE YEARS.3) RESIDENTIAL ENERGY+ - STIMULATING U.S. HOMEOWNER INVESTMENTS IN ENERGY EFFICIENCY AND RENEWABLE ENERGY TO CREATE HEALTHIER HOMES FOR OUR FAMILIES, OUR POCKETBOOKS, AND THE ENVIRONMENT. 4) REALIZE - PROPELLING THE ZERO CARBON RESIDENTIAL REVOLUTION FORWARD, BY MAKING BETTER PERFORMING, SAFER, AND MORE COMFORTABLE HOMES FOR ALL AMERICAN FAMILIES, THAT ALSO SPUR WEALTH AND JOB CREATION IN COMMUNITIES ACROSS THE COUNTRY, ESPECIALLY THOSE THAT HAVE BEEN ECONOMICALLY LEFT BEHIND.5) THE GLOBAL COOLING PRIZE - AN INNOVATION COMPETITION TO DEVELOP A CLIMATE-FRIENDLY RESIDENTIAL COOLING SOLUTION THAT CAN PROVIDE ACCESS TO COOLING TO PEOPLE AROUND THE WORLD WITHOUT WARMING THE PLANET.

(Code:) (Expenses \$ 2,898,029 including grants of \$) (Revenue \$)

BUILDING ELECTRIFICATION: DEVELOPING INTEGRATED SOLUTIONS TO SWIFTLY ELIMINATE FOSSIL FUELS FROM BUILDINGS

Form 990, Part III - 4 Program Service Accomplishments (See the Instructions)

Describe the exempt purpose achievements for each of the organization's three largest program services by expenses. Section 501(c)(3) and (4) organizations and 4947(a)(1) trusts are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

(Code:) (Expenses \$ 2,305,679 including grants of \$) (Revenue \$)

CITIES AND STATES: DEVELOPING STRATEGIC, COST-EFFECTIVE SOLUTIONS AND THE TECHNICAL ASSISTANCE TO HELP CITIES AND STATES REALIZE THEIR AMBITIOUS CLIMATE GOALS AND TO CREATE A CREDIBLE, ECONOMICALLY VIABLE PATH TO FULL CLIMATE-NEUTRALITY. SUPPORTING INITIATIVES INCLUDE: 1) AMERICAS PLEDGE - ANALYZE, CATALYZE, AND SHOWCASE HOW CLIMATE ACTION LED BY STATES, CITIES, AND BUSINESSES IS DRIVING THE UNITED STATES TOGETHER TOWARD A LOW-CARBON FUTURE. 2) CITIES RENEWABLES ACCELERATOR - ACCELERATING OPPORTUNITIES FOR WINNERS OF THE AMERICAN CITIES CLIMATE CHALLENGE, AN INITIATIVE SPONSORED BY BLOOMBERG PHILANTHROPIES, URBAN SUSTAINABILITY DIRECTORS NETWORK MEMBERS, AND OTHER U.S. CITIES, TO IMPLEMENT HIGH-IMPACT, NEAR-TERM RENEWABLE ENERGY PROJECTS.

(Code:) (Expenses \$ 3,352,990 including grants of \$) (Revenue \$ 408,220)

CHINA - HELPING CHINA TO SLASH CARBON EMISSIONS AND CHART A CLEAN ENERGY PATHWAY SO THE WORLD'S LARGEST ECONOMY AND CARBON EMITTER CAN ACHIEVE GREATER HEALTH AND VITALITY AND HELP CURB GLOBAL CLIMATE CHANGE. SUPPORTING INITIATIVES INCLUDE: 1) REFORMING CHINA'S POWER MARKET: TO INTEGRATE MORE RENEWABLES OVER COAL. 2) ELECTRIFYING TRANSPORTATION: TO SHIFT FREIGHT OFF OIL AND ONTO ELECTRICITY. 3) ESTABLISHING NEAR-ZERO CARBON ZONES: TO SUPPORT CONTINUED URBANIZATION WITHOUT INCREASING EMISSIONS. 4) SUPPORTING CITIES IN PEAKING CARBON EMISSIONS: TO PROVE REDUCING CARBON EMISSIONS IS POSSIBLE AND ECONOMIC AT THE CITY LEVEL.

Form 990, Part III - 4 Program Service Accomplishments (See the Instructions)

Describe the exempt purpose achievements for each of the organization's three largest program services by expenses. Section 501(c)(3) and (4) organizations and 4947(a)(1) trusts are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

(Code:) (Expenses \$ 2,184,128 including grants of \$) (Revenue \$ 122,288)

EMERGING SOLUTIONS - IDENTIFYING AND SCALING NEW PATHWAYS TO SPEED THE GLOBAL ENERGY TRANSITION. SUPPORTING INITIATIVES INCLUDE: 1) SEVEN CHALLENGES TO GLOBAL ENERGY TRANSITION - RESEARCH THAT HIGHLIGHTS THE OPPORTUNITIES FOR COORDINATED ACTION ACROSS PUBLIC, PRIVATE, AND COMMUNITY ACTORS TO RAPIDLY DECARBONIZE THE GLOBAL ECONOMY.2) EMERGING INNOVATION SUMMIT - CONVENING KEY US AND GLOBAL INFLUENCERS TO SOLVE BIG, INTEGRATED ENERGY CHALLENGES AND SET PRIORITIES ON AREAS OF FOCUS.3) THE GLOBAL ENERGY SOLUTIONS LAB - A COLLABORATIVE PLATFORM FOR PRIVATE, PUBLIC, AND PHILANTHROPIC ORGANIZATIONS TO APPLY WHOLE-SYSTEMS DESIGN AND ANALYSIS TO GENERATE AND TEST NEW INITIATIVES.

(Code:) (Expenses \$ 2,107,531 including grants of \$) (Revenue \$ 231,584)

GLOBAL CLIMATE FINANCE - ALIGNING GLOBAL INVESTMENT WITH CLEAN ENERGY GOALS, AND ENGAGING FINANCIAL INSTITUTIONS AND POLICY-MAKERS TO SUPPORT A LOW-CARBON FUTURE. SUPPORTING INITIATIVES INCLUDE: 1) REINVENTING CLIMATE FINANCE - PROVIDING A HOLISTIC VIEW OF CLIMATE FINANCE TO DRIVE DECARBONIZATION.2) GREEN INVESTMENT BANKS - INCREASING THE AVAILABILITY OF AND EASE OF ACCESS TO FINANCE FOR LOW-CARBON DEVELOPMENT IN EMERGING COUNTRIES.3) CLIMATE FINANCE ACCESS NETWORK - IMPROVING THE CAPACITY OF LOW-INCOME COUNTRIES TO UNLOCK FUNDING FOR GREEN INVESTMENT.4) MANAGING THE COAL CAPITAL TRANSITION - EASING CAPITAL DESTRUCTION FOR ASSET OWNERS AND THEIR SHAREHOLDERS WHILE OFFERING POLICYMAKERS A CLEARER PATH TOWARD TRANSITIONING THE POWER SECTOR ONTO A 1.5C PATHWAY.

Form 990, Part III - 4 Program Service Accomplishments (See the Instructions)

Describe the exempt purpose achievements for each of the organization's three largest program services by expenses. Section 501(c)(3) and (4) organizations and 4947(a)(1) trusts are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

(Code:) (Expenses \$ 2,233,066 including grants of \$) (Revenue \$ 493,686)

INDIA MOBILITY - HELPING INDIA TO CREATE A SHARED, ELECTRIC, AND CONNECTED MOBILITY FUTURE THAT PROMISES TO PROVIDE INDIANS WITH CLEAN, AFFORDABLE, EFFICIENT, AND RELIABLE TRANSPORTATION OPTIONS TO SUPPORT THE MOVEMENT OF GOODS AND PEOPLE AND TO ENHANCE THEIR DAILY LIVES.

(Code:) (Expenses \$ 1,533,849 including grants of \$) (Revenue \$ 534,772)

MOBILITY - ACCELERATING THE CHANGE TO A LOW-CARBON TRANSPORTATION SYSTEM ON AN AMBITIOUS SCALE. SUPPORTING INITIATIVES INCLUDE: 1) EV-GRID - WORKING WITH UTILITIES, POLICYMAKERS, AND BUSINESSES TO MAKE ELECTRIC VEHICLE (EV) CHARGING EFFECTIVE AND SCALABLE, FOCUSING ON PERSONAL VEHICLES AND FLEETS.1) E-BUSES - ENSURING RAPID LEARNING AND ACCELERATING THE ECONOMIC SUSTAINABILITY OF ELECTRIC TRANSIT BUSES AROUND THE WORLD.2) MOBILITY INNOVATION LAB -PROVIDING A GROUNDBREAKING CHANGE LAB THAT SUPPORTS INNOVATION, COLLABORATION, AND THE ACCELERATION OF THE BOTTOM-UP IDEAS THAT WILL TRANSFORM THE TRANSPORTATION SYSTEM.3) MOBILITY DATA - FOCUSING ON WAYS IN WHICH BETTER DATA AND BETTER ANALYSIS CAN BOTH CHANGE BEHAVIOR AND IMPROVE TRANSPORTATION SYSTEMS.

Form 990, Part III - 4 Program Service Accomplishments (See the Instructions)

Describe the exempt purpose achievements for each of the organization's three largest program services by expenses. Section 501(c)(3) and (4) organizations and 4947(a)(1) trusts are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

(Code:) (Expenses \$ 1,763,364 including grants of \$) (Revenue \$ 161,411)

MARKETING AND COMMUNICATIONS - THE MARKETING AND COMMUNICATIONS TEAM USES COMPELLING COMMUNICATIONS TO AMPLIFY RMI'S WORK AND IMPACT. OUR OBJECTIVES ARE TO PROVIDE A STRATEGIC COMMUNICATIONS LENS TO PROGRAMS IN ORDER TO SET PROGRAM DIRECTION, AND REACH SHORT- AND LONG-TERM IMPACTS, OUTCOMES, AND OUTPUTS THAT ACHIEVE THE DESIRED IMPACT; AND TO PROVIDE COORDINATED TACTICAL SUPPORT TO PROGRAMS WITH HIGH QUALITY MEDIA, SOCIAL MEDIA, EDITORIAL, AND DESIGN SUPPORT.

(Code:) (Expenses \$ 1,454,708 including grants of \$) (Revenue \$)

RMI VENTURES AND THE ENERGY COLLABORATIVE - HELPING TO SUPERCHARGE INVESTMENT IN CLEANTECH WHILE FOSTERING RMI MARKET AFFILIATES, WHICH CURRENTLY INCLUDE: 1) BLACK BEAR ENERGY - A FOR-PROFIT ENTITY THAT WORKS WITH CLIENTS TO IDENTIFY, PROCURE, AND EXECUTE NEW RENEWABLE ENERGY, STORAGE, AND EFFICIENCY PROJECTS. 2) WATTTIME - CREATES TECHNOLOGY SOLUTIONS THAT MAKE IT EASY FOR ANYONE TO ACHIEVE EMISSIONS REDUCTIONS WITHOUT COMPROMISING COST, COMFORT, OR FUNCTION. 3) THE ENERGY WEB FOUNDATION - A GLOBAL NON-PROFIT FOCUSED ON ACCELERATING BLOCKCHAIN TECHNOLOGY ACROSS THE ENERGY SECTOR TO REDUCE ENERGY TRANSACTION COSTS, ENABLE GREATER CUSTOMER PARTICIPATION, AND SPEED THE TRANSITION TOWARD A CLEANER, MORE RESILIENT, AND MORE COST-EFFECTIVE SYSTEM. 4) RENEWABLE ENERGY BUYERS ALLIANCE - FOCUSED ON TURBOCHARGING CORPORATE RENEWABLE ENERGY PROCUREMENT. ITS 300 MEMBERS REPRESENT THE LARGEST GROUP OF CORPORATE RENEWABLE ENERGY BUYERS IN THE UNITED STATES AND AIM TO BRING MORE THAN 60 GIGAWATTS (GW) OF NEW RENEWABLES ONLINE IN THE UNITED STATES BY 2025.

Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W- 2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
JULES KORTENHORST CHIEF EXECUTIVE OFFICER	40.00 1.00	X		X				647,458	0	45,653
AMORY LOVINS THRU 92019 CHIEF SCIENTIST	40.00 0.00	X		X				397,508	0	29,468
JON CREYTS MANAGING DIRECTOR	40.00 1.00				X			379,385	0	42,017
MARTHA PICKETT GENERAL COUNSEL-SECRETARY	40.00 1.00	X		X				381,635	0	31,886
JAMES NEWCOMB MANAGING DIRECTOR	40.00 0.00				X			368,917	0	37,512
PAUL BODNAR MANAGING DIRECTOR	40.00 0.00				X			349,863	0	39,655
EDWARD HARVEY MANAGING DIRECTOR	40.00 0.00				X			319,140	0	17,384
JAMES MANDEL MANAGING DIRECTOR	40.00 1.00				X			285,994	0	33,545
HEATHER MCCREERY CFO	40.00 1.00			X				268,281	0	34,899
BRUCE NILLES MANAGING DIRECTOR	40.00 0.00				X			285,113	0	11,574

Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors										
(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W- 2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
JENNIFER STOKES MANAGING DIRECTOR	40.00 0.00				X			249,892	0	26,261
BRAD MUSHOVIC THRU 72019 MANAGING DIRECTOR	40.00 0.00				X			237,252	0	28,909
LENA HANSEN MANAGING DIRECTOR	40.00 0.00				X			241,771	0	16,668
MARK GRUNDY MANAGING DIRECTOR	40.00 0.00				X			235,196	0	20,149
MISTY BURNS MANAGING DIRECTOR	40.00 0.00				X			224,871	0	19,420
JUSTIN LOCKE SENIOR PRINCIPAL	40.00 0.00					X		214,808	0	17,276
BRITTA GROSS MANAGING DIRECTOR	40.00 0.00				X			204,824	0	23,010
LILY DONGE THRU 122019 PRINCIPAL	40.00 0.00					X		202,948	0	22,504
LARS THOMAS KOCH BLANK SENIOR PRINCIPAL	40.00 0.00					X		192,718	0	32,041
CLAY STRANGER SENIOR PRINCIPAL	40.00 0.00					X		199,828	0	24,070

Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W- 2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
LEIA GUCCIONE MANAGING DIRECTOR	40.00 0.00				X			208,128	0	9,256
KOBEN CALHOUN PRINCIPAL	40.00 0.00					X		194,550	0	14,927
IAIN CAMPBELL MANAGING DIRECTOR	40.00 0.00				X			166,107	0	27,938
RICHENDA VAN LEEUWEN MANAGING DIRECTOR	40.00 0.00				X			154,707	0	25,542
EDWARD WHITE CHAIR OF THE BOARD	1.00 1.00	X		X				37,500	0	0
JEAN OELWANG LEAD INDEPENDENT TRUSTEE	1.00 0.00	X		X				0	0	0
TOM DINWOODIE TRUSTEE	1.00 0.00	X						0	0	0
DAVID ALLEN TRUSTEE	1.00 0.00	X						0	0	0
ROY BEDLOW TRUSTEE	1.00 0.00	X						0	0	0
PETER BOYER TRUSTEE	1.00 0.00	X						0	0	0

Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W- 2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
MARK FERRON TRUSTEE	1.00 0.00	X						0	0	0
MICHAEL HAAS TRUSTEE	1.00 0.00	X						0	0	0
JOSE MARIA FIGUERES TRUSTEE	1.00 0.00	X						0	0	0
RACHEL KYTE TRUSTEE	1.00 0.00	X						0	0	0
DENNIS V MCGINN TRUSTEE	1.00 0.00	X						0	0	0
KANDEH YUMKELLA TRUSTEE	1.00 0.00	X						0	0	0
GEORGE POLK TRUSTEE	1.00 0.00	X						0	0	0
MARY GRACE POWELL TRUSTEE	1.00 0.00	X						0	0	0
ELIZABETH ANN SALL TRUSTEE	1.00 0.00	X						0	0	0
TODD STERN TRUSTEE	1.00 0.00	X						0	0	0

Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W- 2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
MARIA VAN DER HOEVEN TRUSTEE	1.00 0.00	X						0	0	0

SCHEDULE A
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.
▶ Attach to Form 990 or Form 990-EZ.
▶ 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
ROCKY MOUNTAIN INSTITUTE

Employer identification number
74-2244146

Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.)

- 1 A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
- 2 A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990 or 990-EZ).)
- 3 A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
- 4 A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state:
- 5 An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)
- 6 A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
- 7 An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 8 A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 9 An agricultural research organization described in **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 university:
- 10 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.
 - a **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.**
 - c **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
 - d **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.**
 - e 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.
 - f Enter the number of supported organizations _____
 - g Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1- 10 above (see instructions))	(iv) Is the organization listed in your governing document?		(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
			Yes	No		
Total						

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

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

Section A. Public Support

Calendar 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 grant.") . . .	25,775,229	30,681,267	34,404,403	46,041,026	53,633,659	190,535,584
2	Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3	The value of services or facilities furnished by a governmental unit to the organization without charge..						
4	Total. Add lines 1 through 3	25,775,229	30,681,267	34,404,403	46,041,026	53,633,659	190,535,584
5	The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f).						51,987,367
6	Public support. Subtract line 5 from line 4.						138,548,217

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶		(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
7	Amounts from line 4.	25,775,229	30,681,267	34,404,403	46,041,026	53,633,659	190,535,584
8	Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	43,879	87,981	85,061	60,079	93,986	370,986
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.).	246	8,374	10,143	9,754	725	29,242
11	Total support. Add lines 7 through 10						190,935,812
12	Gross receipts from related activities, etc. (see instructions)					12	32,799,793

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

Section C. Computation of Public Support Percentage

14	Public support percentage for 2019 (line 6, column (f) divided by line 11, column (f))	14	72.560 %
15	Public support percentage for 2018 Schedule A, Part II, line 14	15	70.220 %

- 16a 33 1/3% support test—2019.** If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization
- b 33 1/3% support test—2018.** If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization
- 17a 10%-facts-and-circumstances test—2019.** If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization
- b 10%-facts-and-circumstances test—2018.** If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization
- 18 Private foundation.** If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions

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.)

Section A. Public Support

Calendar 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 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf. . .						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year.						
c Add lines 7a and 7b.						
8 Public support. (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
9 Amounts from line 6.						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources. . .						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975.						
c Add lines 10a and 10b.						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on.						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
13 Total support. (Add lines 9, 10c, 11, and 12.)						

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

Section C. Computation of Public Support Percentage

15 Public support percentage for 2019 (line 8, column (f) divided by line 13, column (f))	15	
16 Public support percentage from 2018 Schedule A, Part III, line 15	16	

Section D. Computation of Investment Income Percentage

17 Investment income percentage for 2019 (line 10c, column (f) divided by line 13, column (f))	17	
18 Investment income percentage from 2018 Schedule A, Part III, line 17	18	

19a 33 1/3% support tests—2019. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization

b 33 1/3% support tests—2018. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization

20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions

Part IV Supporting Organizations

(Complete only if you checked a box on line 12 of 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

		Yes	No
1	Are all of the organization's supported organizations listed by name in the organization's governing documents? <i>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.</i>		
2	Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? <i>If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).</i>		
3a	Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer (b) and (c) below.</i>		
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)? <i>If "Yes," describe in Part VI when and how the organization made the determination.</i>		
c	Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? <i>If "Yes," explain in Part VI what controls the organization put in place to ensure such use.</i>		
4a	Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes" and if you checked 12a or 12b in Part I, answer (b) and (c) below.</i>		
b	Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? <i>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.</i>		
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)? <i>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.</i>		
5a	Did the organization add, substitute, or remove any supported organizations during the tax year? <i>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).</i>		
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? <i>If "Yes," provide detail in Part VI.</i>		
7	Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (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? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ) .</i>		
8	Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>		
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))? <i>If "Yes," provide detail in Part VI.</i>		
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? <i>If "Yes," provide detail in Part VI.</i>		
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? <i>If "Yes," provide detail in Part VI.</i>		
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)? <i>If "Yes," answer line 10b below.</i>		
b	Did the organization have any excess business holdings in the tax year? <i>(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings).</i>		

Part IV Supporting Organizations (continued)

		Yes	No
11	Has the organization accepted a gift or contribution from any of the following persons?		
a	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?		
b	A family member of a person described in (a) above?		
c	A 35% controlled entity of a person described in (a) or (b) above? <i>If "Yes" to a, b, or c, provide detail in Part VI.</i>		
		11a	
		11b	
		11c	

Section B. Type I Supporting Organizations

		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? <i>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.</i>		
		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? <i>If "Yes," explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised or controlled the supporting organization.</i>		
		2	

Section C. Type II 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 or trustees of each of the organization's supported organization(s)? <i>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).</i>		
		1	

Section 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? <i>If "No," explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).</i>		
		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? <i>If "Yes," describe in Part VI the role the organization's supported organizations played in this regard.</i>		
		3	

Section E. Type III Functionally-Integrated Supporting Organizations

1	Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions):		
a	<input type="checkbox"/> The organization satisfied the Activities Test. Complete line 2 below.		
b	<input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete line 3 below.		
c	<input type="checkbox"/> The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions)		
2	Activities Test. Answer (a) and (b) below.		
a	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? <i>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.</i>	Yes	No
		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? <i>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.</i>		
		2b	
3	Parent of Supported Organizations. Answer (a) and (b) below.		
a	Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or 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? <i>If "Yes," describe in Part VI the role played by the organization in this regard.</i>		
		3b	

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 Net Income		(A) Prior Year	(B) Current Year (optional)
1	Net short-term capital gain	1	
2	Recoveries of prior-year distributions	2	
3	Other gross income (see instructions)	3	
4	Add lines 1 through 3	4	
5	Depreciation and depletion	5	
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6	
7	Other expenses (see instructions)	7	
8	Adjusted Net Income (subtract lines 5, 6 and 7 from line 4)	8	
Section B - Minimum 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):	1	
a	Average monthly value of securities	1a	
b	Average monthly cash balances	1b	
c	Fair market value of other non-exempt-use assets	1c	
d	Total (add lines 1a, 1b, and 1c)	1d	
e	Discount claimed for blockage or other factors (explain in detail in Part VI):		
2	Acquisition indebtedness applicable to non-exempt use assets	2	
3	Subtract line 2 from line 1d	3	
4	Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions).	4	
5	Net value of non-exempt-use assets (subtract line 4 from line 3)	5	
6	Multiply line 5 by .035	6	
7	Recoveries of prior-year distributions	7	
8	Minimum Asset Amount (add line 7 to line 6)	8	
Section C - Distributable Amount			Current Year
1	Adjusted net income for prior year (from Section A, line 8, Column A)	1	
2	Enter 85% of line 1	2	
3	Minimum asset amount for prior year (from Section B, line 8, Column A)	3	
4	Enter greater of line 2 or line 3	4	
5	Income tax imposed in prior year	5	
6	Distributable Amount. Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions)	6	
7	<input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions)		

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

Section D - Distributions	Current Year
1 Amounts paid to supported organizations to accomplish exempt purposes	
2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
3 Administrative expenses paid to accomplish exempt purposes of supported organizations	
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 the 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	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2019	(iii) Distributable Amount for 2019
1 Distributable amount for 2019 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2019 (reasonable cause required-- explain in Part VI). See instructions.			
3 Excess distributions carryover, if any, to 2019:			
a From 2014.			
b From 2015.			
c From 2016.			
d From 2017.			
e 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:			
\$			
a Applied to underdistributions of prior years			
b Applied to 2019 distributable amount			
c 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. If the amount is greater than zero, explain in Part VI . See instructions.			
6 Remaining underdistributions for 2019. Subtract lines 3h and 4b from line 1. If the amount is 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:			
a Excess from 2015.			
b Excess from 2016.			
c Excess from 2017.			
d Excess from 2018.			
e Excess from 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).

Facts And Circumstances Test

990 Schedule A, Supplemental Information

Return Reference	Explanation
SCHEDULE A, PART II, LINE 10, EXPLANATION OF OTHER INCOME:	OTHER INCOME - 2015 AMOUNT: \$ 246. 2016 AMOUNT: \$ 8,374. 2017 AMOUNT: \$ 10,143. 2018 AMOUNT: \$ 9,754. 2019 AMOUNT: \$ 725.

SCHEDULE C
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Political Campaign and Lobbying Activities
For Organizations Exempt From Income Tax Under section 501(c) and section 527

▶Complete if the organization is described below. ▶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

If the organization answered "Yes" on Form 990, Part IV, Line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then

- Section 501(c)(3) organizations: Complete Parts I-A and B. Do not complete Part I-C.
- Section 501(c) (other than section 501(c)(3)) organizations: Complete Parts I-A and C below. Do not complete Part I-B.
- Section 527 organizations: Complete Part I-A only.

If the organization answered "Yes" on Form 990, Part IV, Line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)): Complete Part II-A. Do not complete Part II-B.
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)): Complete Part II-B. Do not complete Part II-A.

If the organization answered "Yes" on Form 990, Part IV, Line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then

- Section 501(c)(4), (5), or (6) organizations: Complete Part III.

Name of the organization ROCKY MOUNTAIN INSTITUTE	Employer identification number 74-2244146
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Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.

1 Provide a description of the organization's direct and indirect political campaign activities in Part IV (see instructions for definition of "political campaign activities")

2 Political campaign activity expenditures (see instructions) ▶ \$ _____

3 Volunteer hours for political campaign activities (see instructions)

Part I-B Complete if the organization is exempt under section 501(c)(3).

1 Enter the amount of any excise tax incurred by the organization under section 4955 ▶ \$ _____

2 Enter the amount of any excise tax incurred by organization managers under section 4955 ▶ \$ _____

3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? Yes No

4a Was a correction made? Yes No

b If "Yes," describe in Part IV.

Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).

1 Enter the amount directly expended by the filing organization for section 527 exempt function activities ▶ \$ _____

2 Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities ▶ \$ _____

3 Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL, line 17b..... ▶ \$ _____

4 Did the filing organization file **Form 1120-POL** for this year? Yes No

5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments. For each organization listed, enter the amount paid from the filing organization's funds. Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC). If additional space is needed, provide information in Part IV.

(a) Name	(b) Address	(c) EIN	(d) Amount paid from filing organization's funds. If none, enter -0-.	(e) Amount of political contributions received and promptly and directly delivered to a separate political organization. If none, enter -0-.
1				
2				
3				
4				
5				
6				

Part II-A Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).

- A** Check if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures).
- B** Check if the filing organization checked box A and "limited control" provisions apply.

Limits on Lobbying Expenditures
(The term "expenditures" means amounts paid or incurred.)

(a) Filing organization's totals (b) Affiliated group totals

- 1a** Total lobbying expenditures to influence public opinion (grass roots lobbying)
- b** Total lobbying expenditures to influence a legislative body (direct lobbying)
- c** Total lobbying expenditures (add lines 1a and 1b)
- d** Other exempt purpose expenditures
- e** Total exempt purpose expenditures (add lines 1c and 1d)
- f** Lobbying nontaxable amount. Enter the amount from the following table in both columns.

52,619,733

52,619,733

1,000,000

If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:
Not over \$500,000	20% of the amount on line 1e.
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000.
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000.
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000.
Over \$17,000,000	\$1,000,000.

- g** Grassroots nontaxable amount (enter 25% of line 1f)
- h** Subtract line 1g from line 1a. If zero or less, enter -0-
- i** Subtract line 1f from line 1c. If zero or less, enter -0-

250,000

0

0

- j** If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year?

Yes No

4-Year Averaging Period Under Section 501(h)

(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the separate instructions for lines 2a through 2f.)

Lobbying Expenditures During 4-Year Averaging Period

Calendar year (or fiscal year beginning in)	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) Total
2a Lobbying nontaxable amount			1,000,000	1,000,000	2,000,000
b Lobbying ceiling amount (150% of line 2a, column(e))					3,000,000
c Total lobbying expenditures					
d Grassroots nontaxable amount			250,000	250,000	500,000
e Grassroots ceiling amount (150% of line 2d, column (e))					750,000
f Grassroots lobbying expenditures					

Part II-B Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).

For each "Yes" response on lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.

	(a)		(b)
	Yes	No	Amount
1 During the year, did the filing organization attempt to influence foreign, national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of:			
a Volunteers?			
b Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?			
c Media advertisements?			
d Mailings to members, legislators, or the public?			
e Publications, or published or broadcast statements?			
f Grants to other organizations for lobbying purposes?			
g Direct contact with legislators, their staffs, government officials, or a legislative body?			
h Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?			
i Other activities?			
j Total. Add lines 1c through 1i			
2a Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?			
b If "Yes," enter the amount of any tax incurred under section 4912			
c If "Yes," enter the amount of any tax incurred by organization managers under section 4912			
d If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?			

Part III-A Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).

	Yes	No
1 Were substantially all (90% or more) dues received nondeductible by members?	1	
2 Did the organization make only in-house lobbying expenditures of \$2,000 or less?	2	
3 Did the organization agree to carry over lobbying and political expenditures from the prior year?	3	

Part III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered "No" OR (b) Part III-A, line 3, is answered "Yes."

1 Dues, assessments and similar amounts from members	1	
2 Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of political expenses for which the section 527(f) tax was paid).		
a Current year	2a	
b Carryover from last year	2b	
c Total	2c	
3 Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues .	3	
4 If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year?	4	
5 Taxable amount of lobbying and political expenditures (see instructions)	5	

Part IV Supplemental Information

Provide the descriptions required for Part I-A, line 1; Part I-B, line 4; Part I-C, line 5; Part II-A (affiliated group list); Part II-A, lines 1 and 2 (see instructions), and Part II-B, line 1. Also, complete this part for any additional information.

Return Reference	Explanation
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SCHEDULE D
(Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

OMB No. 1545-0047
2019
Open to Public Inspection

▶ 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.

Name of the organization
ROCKY MOUNTAIN INSTITUTE

Employer identification number
74-2244146

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.
Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

	(a) Donor advised funds	(b) Funds and other accounts
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 writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? Yes No

6 Did the organization inform all grantees, donors, and donor advisors 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

Part II Conservation Easements.
Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply).

Preservation of land for public use (e.g., recreation or education) Preservation of an historically important land area

Protection of natural habitat Preservation of a certified historic structure

Preservation of open space

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

	Held at the End of the Year
a Total number of conservation easements	2a
b Total acreage restricted by conservation easements	2b
c Number of conservation easements on a certified historic structure included in (a)	2c
d Number of conservation easements included in (c) acquired after 7/25/06, and not on a historic structure listed in the National Register	2d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ _____

4 Number of states where property subject to conservation easement is located ▶ _____

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? Yes No

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ _____

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ \$ _____

8 Does each conservation easement reported on line 2(d) above satisfy the requirements 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 easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.
Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included on Form 990, Part VIII, line 1 ▶ \$ _____

(ii) Assets included in Form 990, Part X ▶ \$ _____

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items:

a Revenue included on Form 990, Part VIII, line 1 ▶ \$ _____

b Assets included in Form 990, Part X ▶ \$ _____

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets (continued)

- 3** Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):
- a** Public exhibition
 - b** Scholarly research
 - c** Preservation for future generations
 - d** Loan or exchange programs
 - e** Other
- 4** Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.
- 5** During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? . . . **Yes** **No**

Part IV Escrow and Custodial Arrangements.

Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

- 1a** Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? **Yes** **No**
- b** If "Yes," explain the arrangement in Part XIII and complete the following table:
- | | Amount |
|---|--------|
| 1c Beginning balance | |
| 1d Additions during the year | |
| 1e Distributions during the year | |
| 1f Ending balance | |
- 2a** Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? . . . **Yes** **No**
- b** If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided in Part XIII

Part V Endowment Funds.

Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance	1,006,401	971,159	922,691	884,692	986,528
b Contributions	4,350	29,597	14,575	6,650	8,000
c Net investment earnings, gains, and losses	42,082	37,165	65,521	78,141	-9,811
d Grants or scholarships					
e Other expenditures for facilities and programs	20,574	19,422	19,388	35,926	100,025
f Administrative expenses	12,761	12,098	12,240	10,866	
g End of year balance	1,019,498	1,006,401	971,159	922,691	884,692

- 2** Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:
- a** Board designated or quasi-endowment ▶
 - b** Permanent endowment ▶ 91.090 %
 - c** Temporarily restricted endowment ▶ 8.910 %
- The percentages on lines 2a, 2b, and 2c should equal 100%.
- 3a** Are there endowment funds not in the possession of the organization that are held and administered for the organization by:
- | | Yes | No |
|--|------------------|----|
| (i) unrelated organizations | 3a(i) Yes | No |
| (ii) related organizations | 3a(ii) | No |
| b If "Yes" on 3a(ii), are the related organizations listed as required on Schedule R? | 3b | |
- 4** Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings		16,098,876	1,795,158	14,303,718
c Leasehold improvements		373,975	216,944	157,031
d Equipment		1,250,689	918,632	332,057
e Other		1,494,192	761,211	732,981
Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10(c).) . . . ▶				15,525,787

Part VII Investments—Other Securities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests		
(3) Other _____		
(A)		
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
Total. (Column (b) must equal Form 990, Part X, col. (B) line 12.)		

Part VIII Investments—Program Related.

Complete if the organization answered 'Yes' on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
Total. (Column (b) must equal Form 990, Part X, col.(B) line 13.)		

Part IX Other Assets.

Complete if the organization answered 'Yes' on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col.(B) line 15.)	

Part X Other Liabilities.

Complete if the organization answered 'Yes' on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) DEFERRED RENT	236,737
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
(10)	
Total. (Column (b) must equal Form 990, Part X, col.(B) line 25.)	236,737

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements	1	61,949,359
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:		
a	Net unrealized gains (losses) on investments	2a	31,081
b	Donated services and use of facilities	2b	69,442
c	Recoveries of prior year grants	2c	
d	Other (Describe in Part XIII.)	2d	-10,320
e	Add lines 2a through 2d	2e	90,203
3	Subtract line 2e from line 1	3	61,859,156
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1 :		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	5,110
b	Other (Describe in Part XIII.)	4b	
c	Add lines 4a and 4b	4c	5,110
5	Total revenue. Add lines 3 and 4c . (This must equal Form 990, Part I, line 12.)	5	61,864,266

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements	1	53,006,334
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:		
a	Donated services and use of facilities	2a	69,442
b	Prior year adjustments	2b	
c	Other losses	2c	
d	Other (Describe in Part XIII.)	2d	322,269
e	Add lines 2a through 2d	2e	391,711
3	Subtract line 2e from line 1	3	52,614,623
4	Amounts included on Form 990, Part IX, line 25, but not on line 1 :		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	5,110
b	Other (Describe in Part XIII.)	4b	
c	Add lines 4a and 4b	4c	5,110
5	Total expenses. Add lines 3 and 4c . (This must equal Form 990, Part I, line 18.)	5	52,619,733

Part XIII Supplemental Information

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.

Return Reference	Explanation
See Additional Data Table	

Additional Data

Software ID:

Software Version:

EIN: 74-2244146

Name: ROCKY MOUNTAIN INSTITUTE

Supplemental Information

Return Reference	Explanation
PART V, LINE 4:	ENDOWMENT FUNDS ARE USED TO PROVIDE RMI INTERNSHIPS.

Supplemental Information

Return Reference	Explanation
PART X, LINE 2:	RMI APPLIES A MORE-LIKELY-THAN-NOT MEASUREMENT METHODOLOGY TO REFLECT THE FINANCIAL STATEMENT IMPACT OF UNCERTAIN TAX POSITIONS TAKEN OR EXPECTED TO BE TAKEN IN A TAX RETURN. AFTER EVALUATING THE TAX POSITIONS TAKEN, NONE ARE CONSIDERED TO BE UNCERTAIN; THEREFORE, NO AMOUNTS HAVE BEEN RECOGNIZED AS OF JUNE 30, 2020 AND 2019. IF INCURRED, INTEREST AND PENALTIES ASSOCIATED WITH TAX POSITIONS ARE RECORDED IN THE PERIOD ASSESSED AS GENERAL AND ADMINISTRATIVE EXPENSE. NO INTEREST OR PENALTIES HAVE BEEN ASSESSED AS OF JUNE 30, 2020 AND 2019.

Supplemental Information

Return Reference	Explanation
PART XI, LINE 2D - OTHER ADJUSTMENTS:	CHANGE IN NET ASSETS HELD AT THE DENVER FOUNDATION -10,320.

Supplemental Information

Return Reference	Explanation
PART XII, LINE 2D - OTHER ADJUSTMENTS:	WRITE-OFF OF PLEDGES RECEIVABLE 322,269.

**SCHEDULE F
(Form 990)**

Department of the Treasury
Internal Revenue Service

Statement of Activities Outside the United States

▶ Complete if the organization answered "Yes" to 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.

OMB No. 1545-0047

2019

Open to Public Inspection

Name of the organization
ROCKY MOUNTAIN INSTITUTE

Employer identification number
74-2244146

Part I **General Information on Activities Outside the United States.** Complete if the organization answered "Yes" on Form 990, Part IV, line 14b.

- 1 For grantmakers.** Does the organization maintain records to substantiate the amount of its grants and other assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? Yes No
- 2 For grantmakers.** Describe in Part V the organization's procedures for monitoring the use of its grants and other assistance outside the United States.
- 3** Activities per Region. (The following Part I, line 3 table can be duplicated if additional space is needed.)

(a) Region	(b) Number of offices in the region	(c) Number of employees, agents, and independent contractors in the region	(d) Activities conducted in region (by type) (such as, fundraising, program services, investments, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in the region	(f) Total expenditures for and investments in the region
See Add'l Data					
3a Sub-total	1	40			7,007,786
b Total from continuation sheets to Part I	0	0			325,087
c Totals (add lines 3a and 3b)	1	40			7,332,873

Part II 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 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)
		EUROPE (INCLUDING ICELAND & GREENLAND)	INCENTIVIZE THE DEVELOPMENT OF A RESIDENTIAL COOLING SOLUTION THAT WILL HAVE AT LEAST FIVE TIMES LOWER CLIMATE IMPACT THAN THE STANDARD ROOM AC UNITS SOLD ON THE MARKET TODAY	100,000	WIRE			
		EAST ASIA AND THE PACIFIC	INCENTIVIZE THE DEVELOPMENT OF A RESIDENTIAL COOLING SOLUTION THAT WILL HAVE AT LEAST FIVE TIMES LOWER CLIMATE IMPACT THAN THE STANDARD ROOM AC UNITS SOLD ON THE MARKET TODAY	200,000	WIRE			

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter ▶ 0

3 Enter total number of other organizations or entities ▶ 2

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 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 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 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 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 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 No

Part V Supplemental Information

Provide the information required by Part I, line 2 (monitoring of funds); Part I, line 3, column (f) (accounting method; amounts of investments vs. expenditures per region); Part II, line 1 (accounting method); Part III (accounting method); and Part III, column (c) (estimated number of recipients), as applicable. Also complete this part to provide any additional information. See instructions.

990 Schedule F, Supplemental Information

Return Reference	Explanation
PART I, LINE 2:	BETWEEN NOVEMBER 2019 AUGUST 2020, MONTHLY CALLS WERE HELD BETWEEN RMI AND EACH TEAM TO TRACK THEIR PROGRESS TOWARDS DEVELOPMENT OF THESE PROTOTYPES. THE SECOND INSTALLMENT OF \$100,000 WAS SUBJECT TO DELIVERY OF THE TWO PROTOTYPES TO INDIA FOR TESTING. ONLY THOSE TEAMS THAT DELIVER WORKING PROTOTYPES AS DETERMINED BY THE TECHNICAL REVIEW COMMITTEE AND CONFIRMED BY THE SUPERVISORY BOARD OF THE PRIZE ARE ELIGIBLE TO RECEIVE THIS SECOND INSTALLMENT.

990 Schedule F, Supplemental Information

Return Reference	Explanation
PART III ACCOUNTING METHOD:	

Additional Data

Software ID:

Software Version:

EIN: 74-2244146

Name: ROCKY MOUNTAIN INSTITUTE

Form 990 Schedule F Part I - Activities Outside The United States

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
CENTRAL AMERICA AND THE CARIBBEAN	0	3	PROGRAM SERVICES	EMPOWERING CLEAN ECONOMIES	1,459,191
EAST ASIA AND THE PACIFIC	1	20	PROGRAM SERVICES	CHINA	2,732,588

Form 990 Schedule F Part I - Activities Outside The United States

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
EUROPE (INCLUDING ICELAND AND GREENLAND)	0	3	PROGRAM SERVICES & COMMUNICATIONS	BUILDINGS, EMPOWERING CLEAN ECONOMIES, COMMUNICATIONS, AND INDUSTRY	1,471,634
MIDDLE EAST AND NORTH AFRICA	0	0	PROGRAM SERVICES	BUILDINGS	29,654

Form 990 Schedule F Part I - Activities Outside The United States

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
NORTH AMERICA	0	2	PROGRAM SERVICES	BUILDINGS AND EMPOWERING CLEAN ECONOMIES	158,922
SOUTH AMERICA	0	0	PROGRAM SERVICES	EMPOWERING CLEAN ECONOMIES	30,149

Form 990 Schedule F Part I - Activities Outside The United States

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
SOUTH ASIA	0	6	PROGRAM SERVICES	INDIA	515,766
SUB-SAHARAN AFRICA	0	6	PROGRAM SERVICES	EMPOWERING CLEAN ECONOMIES	609,882

Form 990 Schedule F Part I - Activities Outside The United States

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
EAST ASIA AND THE PACIFIC	0	0	PROGRAM SERVICES	INDUSTRY, BUILDINGS	325,087

Note: To capture the full content of this document as Filed, please select landscape mode (11" x 8.5") when printing.

Schedule I (Form 990)

Grants and Other Assistance to Organizations, Governments and Individuals in the United States

Complete if the organization answered "Yes," on Form 990, Part IV, line 21 or 22.

Attach to Form 990. Go to www.irs.gov/Form990 for the latest information.

OMB No. 1545-0047

2019

Open to Public Inspection

Department of the Treasury Internal Revenue Service

Name of the organization ROCKY MOUNTAIN INSTITUTE

Employer identification number 74-2244146

Part I General Information on Grants and Assistance

- 1 Does the organization maintain records to substantiate the amount of the grants or assistance...
2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

Part II Grants and Other Assistance to Domestic Organizations and Domestic Governments. Complete if the organization answered "Yes" on Form 990, Part IV, line 21, for any recipient that received more than \$5,000.

Table with 8 columns: (a) Name and address of organization or government, (b) EIN, (c) IRC section (if applicable), (d) Amount of cash grant, (e) Amount of non-cash assistance, (f) Method of valuation (book, FMV, appraisal, other), (g) Description of noncash assistance, (h) Purpose of grant or assistance. Rows 1-12.

2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table 0
3 Enter total number of other organizations listed in the line 1 table 3

Part III Grants and Other Assistance to Domestic Individuals. Complete if the organization answered "Yes" on Form 990, Part IV, line 22.

Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of noncash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of noncash assistance
(1)					
(2)					
(3)					
(4)					
(5)					
(6)					
(7)					

Part IV Supplemental Information. Provide the information required in Part I, line 2; Part III, column (b); and any other additional information.

Return Reference	Explanation
PART I, LINE 2:	BETWEEN NOVEMBER 2019 AUGUST 2020, MONTHLY CALLS WERE HELD BETWEEN RMI AND EACH TEAM TO TRACK THEIR PROGRESS TOWARDS DEVELOPMENT OF THESE PROTOTYPES. THE SECOND INSTALLMENT OF \$100,000 WAS SUBJECT TO DELIVERY OF THE TWO PROTOTYPES TO INDIA FOR TESTING. ONLY THOSE TEAMS THAT DELIVER WORKING PROTOTYPES AS DETERMINED BY THE TECHNICAL REVIEW COMMITTEE AND CONFIRMED BY THE SUPERVISORY BOARD OF THE PRIZE ARE ELIGIBLE TO RECEIVE THIS SECOND INSTALLMENT.

Additional Data

Software ID:
Software Version:
EIN: 74-2244146
Name: ROCKY MOUNTAIN INSTITUTE

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
M2 THERMAL SOLUTIONS LLC 255 N SIERRA ST UNIT 1512 RENO, NV 89501	84-3613421		100,000				INCENTIVIZE THE DEVELOPMENT OF A RESIDENTIAL COOLING SOLUTION THAT WILL HAVE AT LEAST FIVE TIMES LOWER CLIMATE IMPACT THAN THE STANDARD ROOM AC UNITS SOLD ON THE MARKET TODAY
TRANSAERA INC 444 SOMERVILLE AVE SOMERVILLE, MA 02143	82-0685301		100,000				INCENTIVIZE THE DEVELOPMENT OF A RESIDENTIAL COOLING SOLUTION THAT WILL HAVE AT LEAST FIVE TIMES LOWER CLIMATE IMPACT THAN THE STANDARD ROOM AC UNITS SOLD ON THE MARKET TODAY

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
KRATON POLYMERS LLC 15710 JOHN F KENNEDY SUITE 300 HOUSTON, TX 77032	20-0411521		100,000				INCENTIVIZE THE DEVELOPMENT OF A RESIDENTIAL COOLING SOLUTION THAT WILL HAVE AT LEAST FIVE TIMES LOWER CLIMATE IMPACT THAN THE STANDARD ROOM AC UNITS SOLD ON THE MARKET TODAY

Schedule J
(Form 990)

Compensation Information

OMB No. 1545-0047
2019
Open to Public Inspection

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

Department of the Treasury
Internal Revenue Service

Name of the organization
ROCKY MOUNTAIN INSTITUTE

Employer identification number
74-2244146

Part I Questions Regarding Compensation

	Yes	No
1a 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.		
<input checked="" type="checkbox"/> First-class or charter travel <input type="checkbox"/> Travel for companions <input type="checkbox"/> Tax idemnification and gross-up payments <input type="checkbox"/> Discretionary spending account		
<input type="checkbox"/> Housing allowance or residence for personal use <input checked="" type="checkbox"/> Payments for business use of personal residence <input type="checkbox"/> Health or social club dues or initiation fees <input type="checkbox"/> Personal services (e.g., maid, chauffeur, chef)		
b If any of the boxes on Line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain	1b Yes	
2 Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, officers, including the CEO/Executive Director, regarding the items checked on Line 1a?	2 Yes	
3 Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.		
<input checked="" type="checkbox"/> Compensation committee <input checked="" type="checkbox"/> Independent compensation consultant <input type="checkbox"/> Form 990 of other organizations		
<input type="checkbox"/> Written employment contract <input checked="" type="checkbox"/> Compensation survey or study <input checked="" type="checkbox"/> Approval by the board or compensation committee		
4 During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:		
a Receive a severance payment or change-of-control payment?	4a Yes	
b Participate in, or receive payment from, a supplemental nonqualified retirement plan?	4b	No
c Participate in, or receive payment from, an equity-based compensation arrangement?	4c	No
If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.		
Only 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 pay or accrue any compensation contingent on the revenues of:		
a The organization?	5a	No
b Any related organization?	5b	No
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 pay or accrue any compensation contingent on the net earnings of:		
a The organization?	6a	No
b Any related organization?	6b	No
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 provide any nonfixed payments not described in lines 5 and 6? If "Yes," describe in Part III.	7 Yes	
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," describe in Part III.	8	No
9 If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?	9	

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.

Return Reference	Explanation
PART I, LINE 1A	BUSINESS USE OF PERSONAL RESIDENCE - AMORY LOVINS RENTS APPROXIMATELY 493 SQ FT OF HIS PERSONAL RESIDENCE FOR RMI TO HOST TOURS, MEETINGS AND OTHER EVENTS AS NEEDED. THE ONE YEAR LEASE ENDS DECEMBER 31, 2020. THE RENT IS \$493 PER MONTH. BUSINESS CLASS IS ALLOWED FOR CERTAIN LONG HAUL FLIGHTS FOR RMI EMPLOYEES.
PART I, LINE 4A	AMORY LOVINS, BRAD MUSHOVIC, AND LILY DONGE; THE CHIEF SCIENTIST, A MANAGING DIRECTOR, AND A PRINCIPAL RECEIVED A SEVERANCE/CHANGE OF CONTROL PAYMENT
PART I, LINE 7	NON-FIXED PAYMENTS - SOME EMPLOYEES WERE PAID PERFORMANCE BONUSES AT THE DISCRETION OF MANAGEMENT.

Form 990, Schedule J, Part II - Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base Compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
21 LEIA GUCCIONE MANAGING DIRECTOR	(i)	164,128	44,000	0	8,125	1,131	217,384	0
		-----	-----	-----	-----	-----	-----	-----
	(ii)	0	0	0	0	0	0	0
1 KOBEN CALHOUN PRINCIPAL	(i)	104,640	25,000	64,910	6,284	8,643	209,477	0
		-----	-----	-----	-----	-----	-----	-----
	(ii)	0	0	0	0	0	0	0
2 IAIN CAMPBELL MANAGING DIRECTOR	(i)	166,107	0	0	8,250	19,688	194,045	0
		-----	-----	-----	-----	-----	-----	-----
	(ii)	0	0	0	0	0	0	0
3 RICHENDA VAN LEEUWEN MANAGING DIRECTOR	(i)	154,707	0	0	7,812	17,730	180,249	0
		-----	-----	-----	-----	-----	-----	-----
	(ii)	0	0	0	0	0	0	0

**SCHEDULE M
(Form 990)**

Noncash Contributions

OMB No. 1545-0047

2019

▶ **Complete if the organizations answered "Yes" on Form 990, Part IV, lines 29 or 30.**
 ▶ **Attach to Form 990.**
 ▶ **Go to www.irs.gov/Form990 for the latest information.**

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

Name of the organization
ROCKY MOUNTAIN INSTITUTE

Employer identification number
74-2244146

Part I Types of Property

	(a) Check if applicable	(b) Number of contributions or items contributed	(c) Noncash contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining noncash contribution amounts
1 Art—Works of art				
2 Art—Historical treasures				
3 Art—Fractional interests				
4 Books and publications				
5 Clothing and household goods				
6 Cars and other vehicles				
7 Boats and planes				
8 Intellectual property				
9 Securities—Publicly traded	X	26	1,326,466	FMV
10 Securities—Closely held stock				
11 Securities—Partnership, LLC, or trust interests				
12 Securities—Miscellaneous				
13 Qualified conservation contribution—Historic structures				
14 Qualified conservation contribution—Other				
15 Real estate—Residential				
16 Real estate—Commercial				
17 Real estate—Other				
18 Collectibles				
19 Food inventory				
20 Drugs and medical supplies				
21 Taxidermy				
22 Historical artifacts				
23 Scientific specimens				
24 Archeological artifacts				
25 Other ▶ (_____)				
26 Other ▶ (_____)				
27 Other ▶ (_____)				
28 Other ▶ (_____)				

29 Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement **29**

	Yes	No
30a During the year, did the organization receive by contribution any property reported in Part I, lines 1 through 28, that it must hold for at least three years from the date of the initial contribution, and which isn't required to be used for exempt purposes for the entire holding period?		No
b If "Yes," describe the arrangement in Part II.		
31 Does the organization have a gift acceptance policy that requires the review of any nonstandard contributions?	Yes	
32a Does the organization hire or use third parties or related organizations to solicit, process, or sell noncash contributions?		No
b If "Yes," describe in Part II.		
33 If the organization didn't report an amount in column (c) for a type of property for which column (a) is checked, describe in Part II.		

Part II **Supplemental Information.** Provide the information required by Part I, lines 30b, 32b, and 33, and whether the organization is reporting in Part I, column (b), the number of contributions, the number of items received, or a combination of both. Also complete this part for any additional information.

Return Reference	Explanation
------------------	-------------

SCHEDULE O
(Form 990 or 990-EZ)**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.

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

OMB No. 1545-0047

2019**Open to Public Inspection**

Department of the Treasury

Name of the organization
ROCKY MOUNTAIN INSTITUTE

Employer identification number

74-2244146

990 Schedule O, Supplemental Information

Return Reference	Explanation
FORM 990, PART VI, SECTION A, LINE 2	JULES KORTENHORST AND JON CREYTS HAVE A BUSINESS RELATIONSHIP AS THEY SERVE TOGETHER ON A SEPARATE BOARD.

990 Schedule O, Supplemental Information

Return Reference	Explanation
FORM 990, PART VI, SECTION A, LINE 4	THE BYLAWS HAVE BEEN REVISED TO INCLUDE THE FINANCE AND INVESTMENT COMMITTEES AS STANDING COMMITTEES. THEIR CHAIRS ARE ALSO NOW A PART OF THE EXECUTIVE COMMITTEE. THE ARTICLES OF INCORPORATION HAVE BEEN REVISED TO ALLOW EXTENDED TRUSTEES' TERMS OF SERVICE.

990 Schedule O, Supplemental Information

Return Reference	Explanation
FORM 990, PART VI, SECTION B, LINE 11B	RMI'S REVIEW PROCESS FOR THE 990 FORM BEGINS WITH A FORMAL REVIEW BY MANAGEMENT. AFTER MANAGEMENT REVIEW, THE 990 WILL BE DISTRIBUTED TO THE FULL BOARD PRIOR TO FILLING.

990 Schedule O, Supplemental Information

Return Reference	Explanation
FORM 990, PART VI, SECTION B, LINE 12C	TRUSTEES AND KEY PERSONNEL ARE PROVIDED A CONFLICT OF INTEREST POLICY ON AN ANNUAL BASIS TO DISCLOSE OF ANY INTERESTS. THE POLICY IS DISTRIBUTED ANNUALLY AND SIGNED BY ALL TRUSTEES AND KEY PERSONNEL.

990 Schedule O, Supplemental Information

Return Reference	Explanation
FORM 990, PART VI, SECTION B, LINE 15	RMI HAS ENGAGED AN OUTSIDE COMPENSATION FIRM TO REVIEW COMPENSATION AT ALL LEVELS AND HELP THE ORGANIZATION TO ENSURE COMPENSATION LEVELS ARE APPROPRIATELY COMPETITIVE WITHIN THE MARKET. THIS REVIEW IS COMPLETED EVERY COUPLE OF YEARS. THE LAST REVIEW WAS DONE IN 2019. RMI REGULARLY ENSURES NEW AND MODIFIED POSITIONS OF ALL LEVELS ARE APPROPRIATELY PRICED WITH REGARD TO SALARY AND BONUS, INCLUDING SENIOR LEVEL POSITIONS. ADDITIONALLY, THE BOARD OF TRUSTEES FORMED A RENUMERATION COMMITTEE IN 2013 TO ENSURE APPROPRIATE COMPENSATION PRACTICES ARE IN PLACE FOR THE ENTIRE INSTITUTE, INCLUSIVE OF THE EXECUTIVE LEVEL. THIS RENUMERATION COMMITTEE ALSO APPROVES COMPENSATION ACTIONS REGARDING SENIOR TEAM MEMBERS AND RMI'S CEO.

990 Schedule O, Supplemental Information

Return Reference	Explanation
FORM 990, PART VI, SECTION C, LINE 19	RMI'S ARTICLES OF INCORPORATION ARE OF PUBLIC RECORD WITH THE COLORADO SECRETARY OF STATE. ANNUAL REPORTS, IRS FORM 990, AND AUDITED FINANCIAL STATEMENTS ARE AVAILABLE ON THE RMI WEBSITE (WWW.RMI.ORG). COPIES OF ANY POLICY, INCLUDING BYLAWS, ARE AVAILABLE UPON REQUEST.

990 Schedule O, Supplemental Information

Return Reference	Explanation
FORM 990, PART IX, LINE 11G	CONSULTING FEES: PROGRAM SERVICE EXPENSES 9,887,781. MANAGEMENT AND GENERAL EXPENSES 295,101. FUNDRAISING EXPENSES 65,449. TOTAL EXPENSES 10,248,331.

990 Schedule O, Supplemental Information

Return Reference	Explanation
FORM 990, PART XI, LINE 9:	CHANGE IN NET ASSETS HELD AT THE DENVER FOUNDATION -10,320. WRITE-OFF OF PLEDGES RECEIVABLE -322,269.

**SCHEDULE R
(Form 990)**

Related Organizations and Unrelated Partnerships

OMB No. 1545-0047

2019

**Open to Public
Inspection**

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.**
▶ **Attach to Form 990.**
▶ **Go to www.irs.gov/Form990 for instructions and the latest information.**

Department of the Treasury
Internal Revenue Service

Name of the organization
ROCKY MOUNTAIN INSTITUTE

Employer identification number

74-2244146

Part I Identification of Disregarded Entities. Complete if the organization answered "Yes" on Form 990, Part IV, line 33.

(a) Name, address, and EIN (if applicable) of disregarded entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Total income	(e) End-of-year assets	(f) Direct controlling entity
(1) RMI INNOVATION CENTER LLC 2490 JUNCTION PLACE SUITE 200 BOULDER, CO 80302 74-2244146	OWNERSHIP & MGMT OF ROCKY MOUNTAIN INSTITUTE INNOVATION CENTER IN BASALT, CO	CO	0	14,303,718	ROCKY MOUNTAIN INSTITUTE

Part II Identification of Related Tax-Exempt Organizations. Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related tax-exempt organizations during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled entity?	
						Yes	No
(1) ROCKY MOUNTAIN INSTITUTE-INTERNATIONAL 2490 JUNCTION PLACE SUITE 200 BOULDER, CO 80302 47-3919461	QIAHAI RMI RESEARCH CENTER	CO	501(C)(3)	LINE 12A, I	ROCKY MOUNTAIN INSTITUTE	Yes	
(2) WATTTIME CORPORATION 1111 BROADWAY OAKLAND, CA 94607 47-1444637	RAISE AWARENESS ABOUT SHIFTING ELECTRICITY USE TIMES	CA	501(C)(3)	LINE 7	ROCKY MOUNTAIN INSTITUTE	Yes	

Part III Identification of Related Organizations Taxable as a Partnership. Complete if the organization answered "Yes" on Form 990, Part IV, line 34, because it had one or more related organizations treated as a partnership during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Predominant income(related, unrelated, excluded from tax under sections 512-514)	(f) Share of total income	(g) Share of end-of-year assets	(h) Disproportionate allocations?		(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?		(k) Percentage ownership
							Yes	No		Yes	No	
(1) QIANHAI RMI RESEARCH CENTER (SHENZHEN) (LIMITED PARTNERSHIP) UNIT 201 TOWER 1 NO 1 QIANWAN RO QIANHAI, SHENZHEN CH	ENVIRONMENTAL PROTECTION	CH		RELATED	23,588			No			No	25.000 %

Part IV Identification of Related Organizations Taxable as a Corporation or Trust. Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a corporation or trust during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of-year assets	(h) Percentage ownership	(i) Section 512(b)(13) controlled entity?	
								Yes	No

Part V Transactions With Related Organizations. Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.

Note. Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule.

	Yes	No
1 During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?		
a Receipt of (i) interest, (ii) annuities, (iii) royalties, or (iv) rent from a controlled entity		No
b Gift, grant, or capital contribution to related organization(s)		No
c Gift, grant, or capital contribution from related organization(s)	Yes	
d Loans or loan guarantees to or for related organization(s)	Yes	
e Loans or loan guarantees by related organization(s)		No
f Dividends from related organization(s)		No
g Sale of assets to related organization(s)		No
h Purchase of assets from related organization(s)		No
i Exchange of assets with related organization(s)		No
j Lease of facilities, equipment, or other assets to related organization(s)		No
k Lease of facilities, equipment, or other assets from related organization(s)		No
l Performance of services or membership or fundraising solicitations for related organization(s)	Yes	
m Performance of services or membership or fundraising solicitations by related organization(s)		No
n Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)	Yes	
o Sharing of paid employees with related organization(s)	Yes	
p Reimbursement paid to related organization(s) for expenses		No
q Reimbursement paid by related organization(s) for expenses	Yes	
r Other transfer of cash or property to related organization(s)		No
s Other transfer of cash or property from related organization(s)		No

2 If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds.

(a) Name of related organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved
(1) ROCKY MOUNTAIN INSTITUTE INTERNATIONAL	D	362,206	FMV
(2) WATTTIME CORPORATION	C	100,000	FMV

Part VII **Supplemental Information**

Provide additional information for responses to questions on Schedule R. (see instructions).

Return Reference	Explanation