

**UNIVERSITY OF CALIFORNIA, SANTA BARBARA**  
**OFFICE OF RESEARCH**  
**AWARDED BY SPONSOR**

REPORT DATE: 7/1/2020

|                     |                        |                       |               |                |
|---------------------|------------------------|-----------------------|---------------|----------------|
| <b>Parameters:</b>  |                        | <b>Report Totals:</b> | <b>Count:</b> | <b>Amount:</b> |
| Fiscal Year:        | 2020                   | FY 2020:              | 975           | 235,277,896    |
| Dates: (Award Date) | 7/1/2019 To: 6/30/2020 | FY 2019:              | 967           | 216,365,166    |
|                     |                        | Percent Change:       | 1             | 9              |

|  | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
|--|----------------|--------|----------------|--------|---------|----------|
|--|----------------|--------|----------------|--------|---------|----------|

FEDERAL

DEPT OF AGRICULTURE

|   |   |         |   |         |      |      |
|---|---|---------|---|---------|------|------|
| USDA Agricultural Research Service-0350               | 1 | 84,268  | 0 | 0       | -100 | -100 |
| USDA Forest Service-0300                              | 5 | 947,523 | 2 | 127,649 | -60  | -87  |
| USDA National Institute for Food and Agriculture-0450 | 1 | 164,977 | 1 | 66,771  | 0    | -60  |

|                                   |          |                  |          |                |            |            |
|-----------------------------------|----------|------------------|----------|----------------|------------|------------|
| <b>Total: DEPT OF AGRICULTURE</b> | <b>7</b> | <b>1,196,768</b> | <b>3</b> | <b>194,420</b> | <b>-57</b> | <b>-84</b> |
|-----------------------------------|----------|------------------|----------|----------------|------------|------------|

DEPT OF COMMERCE

|   |   |         |   |         |   |    |
|---|---|---------|---|---------|---|----|
| National Oceanic and Atmospheric Administration (NOAA)-0770 | 3 | 636,774 | 3 | 618,720 | 0 | -3 |
|---|---|---------|---|---------|---|----|

|                                |          |                |          |                |          |           |
|--------------------------------|----------|----------------|----------|----------------|----------|-----------|
| <b>Total: DEPT OF COMMERCE</b> | <b>3</b> | <b>636,774</b> | <b>3</b> | <b>618,720</b> | <b>0</b> | <b>-3</b> |
|--------------------------------|----------|----------------|----------|----------------|----------|-----------|

DEPT OF DEFENSE

DEPT OF AIR FORCE

|  |   |           |   |           |     |     |
|--|---|-----------|---|-----------|-----|-----|
| DAF Air Force Misc Bases & Agencies-2499 | 3 | 2,319,673 | 4 | 3,369,616 | 33  | 45  |
| DAF Air Force Research Laboratory-2544   | 2 | 500,000   | 4 | 441,154   | 100 | -12 |
| DAF Office Of Scientific Research-2416   | 4 | 615,000   | 6 | 4,570,705 | 50  | 643 |

|                                 |          |                  |           |                  |           |            |
|---------------------------------|----------|------------------|-----------|------------------|-----------|------------|
| <b>Total: DEPT OF AIR FORCE</b> | <b>9</b> | <b>3,434,673</b> | <b>14</b> | <b>8,381,475</b> | <b>56</b> | <b>144</b> |
|---------------------------------|----------|------------------|-----------|------------------|-----------|------------|

DEPT OF ARMY

|   |    |            |    |           |      |      |
|---|----|------------|----|-----------|------|------|
| DA Army Cold Regions Research And Engineering Laboratory-2684 | 1  | 58,779     | 0  | 0         | -100 | -100 |
| DA Army Engineers-Vicksburg District, Corps Of-FE3B           | 1  | 45,415     | 1  | 26,662    | 0    | -41  |
| DA Army Materiel Command-Hq-2650                              | 4  | 727,692    | 8  | 1,509,372 | 100  | 107  |
| DA Army Misc Bases And Agencies-2799                          | 13 | 3,316,346  | 9  | 1,436,029 | -31  | -57  |
| DA Army Research Laboratory-FE39                              | 1  | 60,000     | 0  | 0         | -100 | -100 |
| DA Army Research, Durham, N.C. Office (AROD)-2775             | 30 | 15,486,937 | 18 | 7,667,679 | -40  | -50  |

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|  | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
|--|----------------|--------|----------------|--------|---------|----------|
|--|----------------|--------|----------------|--------|---------|----------|

|   |            |                   |            |                   |            |            |
|---|------------|-------------------|------------|-------------------|------------|------------|
| FEDERAL   |            |                   |            |                   |            |            |
| DEPT OF DEFENSE   |            |                   |            |                   |            |            |
| DEPT OF ARMY  |            |                   |            |                   |            |            |
| DA Army Research, Wash D.C. Office-2610                                     | 7          | 1,143,426         | 4          | 2,025,000         | -43        | 77         |
| US Army Medial Research Acquisition Activity-VJAH                           | 0          | 0                 | 1          | 738,769           | 100        | 100        |
| <b>Total: DEPT OF ARMY</b>  | <b>57</b>  | <b>20,838,595</b> | <b>41</b>  | <b>13,403,511</b> | <b>-28</b> | <b>-36</b> |
| DEPT OF NAVY  |            |                   |            |                   |            |            |
| DN Naval Surface Warfare Center-2857  | 1          | 159,402           | 1          | 150,057           | 0          | -6         |
| DN Navy Misc Bases & Agencies-2999  | 1          | 40,194            | 0          | 0                 | -100       | -100       |
| DN Office Of Naval Research (ONR)-2888                                      | 24         | 6,443,773         | 38         | 10,922,389        | 58         | 70         |
| <b>Total: DEPT OF NAVY</b>  | <b>26</b>  | <b>6,643,369</b>  | <b>39</b>  | <b>11,072,446</b> | <b>50</b>  | <b>67</b>  |
| SEPARATE AGENCIES   |            |                   |            |                   |            |            |
| DOD Advanced Research Projects Agency (DARPA)-2025                          | 10         | 5,518,924         | 9          | 6,221,580         | -10        | 13         |
| DOD Defense Threat Reduction Agency-2226                                    | 1          | 140,000           | 1          | 279,992           | 0          | 100        |
| DOD National Geospatial Intelligence Agency,nga(Frmly Imagery&Mapping)-2250 | 1          | 148,921           | 0          | 0                 | -100       | -100       |
| DOD Strategic Environmental Research Development-V8CJ                       | 3          | 793,069           | 2          | 482,300           | -33        | -39        |
| <b>Total: SEPARATE AGENCIES</b>   | <b>15</b>  | <b>6,600,914</b>  | <b>12</b>  | <b>6,983,872</b>  | <b>-20</b> | <b>6</b>   |
| <b>Total: DEPT OF DEFENSE</b>   | <b>107</b> | <b>37,517,551</b> | <b>106</b> | <b>39,841,304</b> | <b>-1</b>  | <b>6</b>   |
| DEPT OF EDUCATION   |            |                   |            |                   |            |            |
| ED Elementary & Secondary Education, Assistant Secretary For-3006           | 1          | 524,834           | 1          | 524,913           | 0          | 0          |
| ED Institute of Education Sciences (IES)-F70F                               | 1          | 462,804           | 4          | 1,018,269         | 300        | 120        |
| ED Postsecondary Education (Incl Workstudy, Pell, Seog & Perkins, Etc)-3080 | 0          | 0                 | 1          | 147,886           | 100        | 100        |
| ED U.S. Department of Education Miscellaneous Agencies-3099                 | 2          | 242,135           | 4          | 13,131,513        | 100        | 5,323      |

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|---------------------------------|----------------|------------------|----------------|-------------------|------------|-------------|
| <b>Total: DEPT OF EDUCATION</b> | <b>4</b>       | <b>1,229,773</b> | <b>10</b>      | <b>14,822,581</b> | <b>150</b> | <b>1105</b> |

DEPT OF ENERGY

|  |    |           |    |           |      |      |
|--|----|-----------|----|-----------|------|------|
| DOE Advanced Research Projects Agency-Energy (ARPA-E)-F47D | 3  | 4,393,245 | 2  | 1,861,750 | -33  | -58  |
| DOE Chicago Field Office-5063                              | 6  | 1,265,118 | 3  | 871,170   | -50  | -31  |
| DOE Idaho Operations Office-5065                           | 1  | 0         | 0  | 0         | -100 | -100 |
| DOE Miscellaneous Offices And Programs-5099                | 19 | 5,032,764 | 18 | 5,077,287 | -5   | 1    |
| DOE Washington, D.C.-5090                                  | 7  | 4,044,000 | 5  | 1,284,000 | -29  | -68  |

|                              |           |                   |           |                  |            |            |
|------------------------------|-----------|-------------------|-----------|------------------|------------|------------|
| <b>Total: DEPT OF ENERGY</b> | <b>36</b> | <b>14,735,127</b> | <b>28</b> | <b>9,094,207</b> | <b>-22</b> | <b>-38</b> |
|------------------------------|-----------|-------------------|-----------|------------------|------------|------------|

HEALTH & HUMAN SVCS

PHS/NATL INST HEALTH

|   |    |           |    |           |      |      |
|---|----|-----------|----|-----------|------|------|
| NIH Alcohol Abuse And Alcoholism, National Institute Of-3171              | 1  | 333,483   | 1  | 333,483   | 0    | 0    |
| NIH Allergy & Infectious Diseases, National Institute Of-3445             | 2  | 1,264,089 | 2  | 1,256,336 | 0    | -1   |
| NIH Biomedical Imaging And Bioengineering, Natl Institute Of (NIBIB)-4319 | 4  | 1,768,319 | 4  | 1,848,822 | 0    | 5    |
| NIH Child Health & Human Development, National Institute Of-3465          | 10 | 2,281,584 | 5  | 1,419,114 | -50  | -38  |
| NIH Deafness & Other Communication Disorders, Natl Institute On-3470      | 3  | 852,244   | 2  | 763,134   | -33  | -10  |
| NIH Diabetes, Digestive & Kidney Diseases, National Institute Of-3457     | 1  | 345,375   | 3  | 738,552   | 200  | 114  |
| NIH Drug Abuse, National Institute Of-3172                                | 3  | 324,148   | 0  | 0         | -100 | -100 |
| NIH General Medical Sciences, National Institute Of-3485                  | 16 | 5,186,322 | 21 | 5,754,966 | 31   | 11   |
| NIH Heart, Lung & Blood, National Institute Of-3435                       | 3  | 552,306   | 1  | 370,767   | -67  | -33  |
| NIH Mental Health, National Institute Of-3170                             | 4  | 601,605   | 0  | 0         | -100 | -100 |
| NIH Natl Cancer Institute-3425  | 1  | 767,500   | 0  | 0         | -100 | -100 |
| NIH Natl Eye Institute-3490   | 6  | 1,319,137 | 4  | 1,391,917 | -33  | 6    |

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|--|----------------|--------|----------------|--------|---------|----------|
|--|----------------|--------|----------------|--------|---------|----------|

FEDERAL

HEALTH & HUMAN SVCS

PHS/NATL INST HEALTH

|   |           |                   |           |                   |            |           |
|---|-----------|-------------------|-----------|-------------------|------------|-----------|
| NIH Natl Human Genome Research Institute-3102               | 0         | 0                 | 1         | 374,801           | 100        | 100       |
| NIH Natl Institute On Aging-3440                            | 3         | 1,557,730         | 5         | 1,316,307         | 67         | -15       |
| NIH Neurological Disorders & Stroke, Natl Institute Of-3498 | 4         | 1,399,415         | 5         | 1,795,582         | 25         | 28        |
| <b>Total: PHS/NATL INST HEALTH</b>                          | <b>61</b> | <b>18,553,257</b> | <b>54</b> | <b>17,363,781</b> | <b>-11</b> | <b>-6</b> |
| <b>Total: HEALTH &amp; HUMAN SVCS</b>                       | <b>61</b> | <b>18,553,257</b> | <b>54</b> | <b>17,363,781</b> | <b>-11</b> | <b>-6</b> |

DEPT OF INTERIOR

|  |          |                |           |                  |            |            |
|--|----------|----------------|-----------|------------------|------------|------------|
| USDI Bureau of Land Management-4130                        | 0        | 0              | 1         | 74,590           | 100        | 100        |
| USDI Bureau of Ocean Energy Management (BOEM)-4120         | 3        | 650,000        | 2         | 800,000          | -33        | 23         |
| USDI Fish And Wildlife Service-4132                        | 0        | 0              | 3         | 108,314          | 100        | 100        |
| USDI Geological Survey (Incl Natl Biological Service)-4190 | 0        | 0              | 3         | 340,072          | 100        | 100        |
| USDI National Park Service-4180                            | 1        | 50,913         | 5         | 318,946          | 400        | 526        |
| <b>Total: DEPT OF INTERIOR</b>                             | <b>4</b> | <b>700,913</b> | <b>14</b> | <b>1,641,922</b> | <b>250</b> | <b>134</b> |

DEPT OF JUSTICE

|                                      |          |                |          |          |             |             |
|--------------------------------------|----------|----------------|----------|----------|-------------|-------------|
| USDJ Office Of Justice Programs-4260 | 2        | 299,000        | 0        | 0        | -100        | -100        |
| <b>Total: DEPT OF JUSTICE</b>        | <b>2</b> | <b>299,000</b> | <b>0</b> | <b>0</b> | <b>-100</b> | <b>-100</b> |

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|  | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
|--|----------------|--------|----------------|--------|---------|----------|
|--|----------------|--------|----------------|--------|---------|----------|

FEDERAL

DEPT OF STATE

|  |   |           |   |           |   |   |
|--|---|-----------|---|-----------|---|---|
| U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT-4415 | 1 | 1,808,990 | 1 | 1,902,024 | 0 | 5 |
|--|---|-----------|---|-----------|---|---|

|                             |          |                  |          |                  |          |          |
|-----------------------------|----------|------------------|----------|------------------|----------|----------|
| <b>Total: DEPT OF STATE</b> | <b>1</b> | <b>1,808,990</b> | <b>1</b> | <b>1,902,024</b> | <b>0</b> | <b>5</b> |
|-----------------------------|----------|------------------|----------|------------------|----------|----------|

NATL ARNATC & SPC AD

|   |    |           |    |           |     |     |
|---|----|-----------|----|-----------|-----|-----|
| NASA Miscellaneous Centers-5101         | 36 | 4,544,889 | 36 | 4,200,420 | 0   | -8  |
| NASA Shared Services Center (NSSC)-5105 | 4  | 1,355,403 | 1  | 168,025   | -75 | -88 |
| NASA Washington, D.C. HQ-5136           | 4  | 245,167   | 3  | 194,755   | -25 | -21 |

|  |           |                  |           |                  |           |            |
|--|-----------|------------------|-----------|------------------|-----------|------------|
| <b>Total: NATL ARNATC &amp; SPC AD</b> | <b>44</b> | <b>6,145,459</b> | <b>40</b> | <b>4,563,200</b> | <b>-9</b> | <b>-26</b> |
|--|-----------|------------------|-----------|------------------|-----------|------------|

NATL FND ARTS & HUM

|   |   |   |   |         |     |     |
|---|---|---|---|---------|-----|-----|
| NFAH National Endowment for the Humanities-NEH-5280 | 0 | 0 | 1 | 349,721 | 100 | 100 |
|---|---|---|---|---------|-----|-----|

|                                       |          |          |          |                |            |            |
|---------------------------------------|----------|----------|----------|----------------|------------|------------|
| <b>Total: NATL FND ARTS &amp; HUM</b> | <b>0</b> | <b>0</b> | <b>1</b> | <b>349,721</b> | <b>100</b> | <b>100</b> |
|---------------------------------------|----------|----------|----------|----------------|------------|------------|

HOMELAND SECURITY

|  |   |         |   |   |      |      |
|--|---|---------|---|---|------|------|
| DHS Department of Homeland Security-5854 | 1 | 250,000 | 0 | 0 | -100 | -100 |
|--|---|---------|---|---|------|------|

|                                 |          |                |          |          |             |             |
|---------------------------------|----------|----------------|----------|----------|-------------|-------------|
| <b>Total: HOMELAND SECURITY</b> | <b>1</b> | <b>250,000</b> | <b>0</b> | <b>0</b> | <b>-100</b> | <b>-100</b> |
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|---|----------------|-------------------|----------------|-------------------|------------|------------|
| <b>FEDERAL</b>                              |                |                   |                |                   |            |            |
| NATL SCIENCE FND                            |                |                   |                |                   |            |            |
| GEOSCIENCES                                 |                |                   |                |                   |            |            |
| National Science Foundation (NSF)-5400      | 34             | 10,597,874        | 22             | 7,895,791         | -35        | -25        |
| <b>Total: GEOSCIENCES</b>                   | <b>34</b>      | <b>10,597,874</b> | <b>22</b>      | <b>7,895,791</b>  | <b>-35</b> | <b>-25</b> |
| BIOLOGICAL SCIENCES                         |                |                   |                |                   |            |            |
| National Science Foundation (NSF)-5400      | 13             | 2,698,770         | 17             | 6,748,155         | 31         | 150        |
| <b>Total: BIOLOGICAL SCIENCES</b>           | <b>13</b>      | <b>2,698,770</b>  | <b>17</b>      | <b>6,748,155</b>  | <b>31</b>  | <b>150</b> |
| ENGINEERING                                 |                |                   |                |                   |            |            |
| National Science Foundation (NSF)-5400      | 15             | 3,739,521         | 16             | 5,721,259         | 7          | 53         |
| <b>Total: ENGINEERING</b>                   | <b>15</b>      | <b>3,739,521</b>  | <b>16</b>      | <b>5,721,259</b>  | <b>7</b>   | <b>53</b>  |
| MATH & PHYSICAL SCI                         |                |                   |                |                   |            |            |
| National Science Foundation (NSF)-5400      | 50             | 20,889,187        | 48             | 25,799,265        | -4         | 24         |
| <b>Total: MATH &amp; PHYSICAL SCI</b>       | <b>50</b>      | <b>20,889,187</b> | <b>48</b>      | <b>25,799,265</b> | <b>-4</b>  | <b>24</b>  |
| EDUC & HUMAN RESOURCES                      |                |                   |                |                   |            |            |
| National Science Foundation (NSF)-5400      | 7              | 6,665,348         | 6              | 4,707,752         | -14        | -29        |
| <b>Total: EDUC &amp; HUMAN RESOURCES</b>    | <b>7</b>       | <b>6,665,348</b>  | <b>6</b>       | <b>4,707,752</b>  | <b>-14</b> | <b>-29</b> |
| SOCIAL, BEHAV & ECON SCI                    |                |                   |                |                   |            |            |
| National Science Foundation (NSF)-5400      | 6              | 1,150,368         | 10             | 1,048,186         | 67         | -9         |
| <b>Total: SOCIAL, BEHAV &amp; ECON SCI</b>  | <b>6</b>       | <b>1,150,368</b>  | <b>10</b>      | <b>1,048,186</b>  | <b>67</b>  | <b>-9</b>  |
| COMP & INFO SCI & ENG                       |                |                   |                |                   |            |            |
| National Science Foundation (NSF)-5400      | 22             | 6,833,887         | 32             | 7,531,715         | 45         | 10         |
| <b>Total: COMP &amp; INFO SCI &amp; ENG</b> | <b>22</b>      | <b>6,833,887</b>  | <b>32</b>      | <b>7,531,715</b>  | <b>45</b>  | <b>10</b>  |

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|   | FY 2019: Count                         | Amount        | FY 2020: Count        | Amount             | % Count        | % Amount           |             |             |
| <b>FEDERAL</b>                          |  |               |                       |                    |                |                    |             |             |
| NATL SCIENCE FND                        |  |               |                       |                    |                |                    |             |             |
| OFC OF INTEGRATIVE ACTIV                |  |               |                       |                    |                |                    |             |             |
|   | National Science Foundation (NSF)-5400 |               | 0                     | 0                  | 2              | 1,090,205          | 100         | 100         |
| <b>Total: OFC OF INTEGRATIVE ACTIV</b>  |  |               | <b>0</b>              | <b>0</b>           | <b>2</b>       | <b>1,090,205</b>   | <b>100</b>  | <b>100</b>  |
| OFC OF INTL SCI & ENG                   |  |               |                       |                    |                |                    |             |             |
|   | National Science Foundation (NSF)-5400 |               | 1                     | 300,000            | 0              | 0                  | -100        | -100        |
| <b>Total: OFC OF INTL SCI &amp; ENG</b> |  |               | <b>1</b>              | <b>300,000</b>     | <b>0</b>       | <b>0</b>           | <b>-100</b> | <b>-100</b> |
| OFC OF POLAR PROGRAMS                   |  |               |                       |                    |                |                    |             |             |
|   | National Science Foundation (NSF)-5400 |               | 1                     | 21,112             | 0              | 0                  | -100        | -100        |
| <b>Total: OFC OF POLAR PROGRAMS</b>     |  |               | <b>1</b>              | <b>21,112</b>      | <b>0</b>       | <b>0</b>           | <b>-100</b> | <b>-100</b> |
| <b>Total: NATL SCIENCE FND</b>          |  |               | <b>149</b>            | <b>52,896,067</b>  | <b>153</b>     | <b>60,542,328</b>  | <b>3</b>    | <b>14</b>   |
| <b>Total: FEDERAL</b>                   |  |               | <b>419</b>            | <b>135,969,679</b> | <b>413</b>     | <b>150,934,208</b> | <b>-1</b>   | <b>11</b>   |

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|---------------------|------------------------|-----------------------|---------------|----------------|
| <b>Parameters:</b>  |                        | <b>Report Totals:</b> | <b>Count:</b> | <b>Amount:</b> |
| Fiscal Year:        | 2020                   | FY 2020:              | 975           | 235,277,896    |
| Dates: (Award Date) | 7/1/2019 To: 6/30/2020 | FY 2019:              | 967           | 216,365,166    |
|                     |                        | Percent Change:       | 1             | 9              |

|  | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
|--|----------------|--------|----------------|--------|---------|----------|
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INDUSTRY

|  |   |         |   |         |      |      |
|--|---|---------|---|---------|------|------|
| Agnitron Technology, Inc.-VF3T   | 1 | 247,000 | 0 | 0       | -100 | -100 |
| Akzo Nobel-8008  | 1 | 200,000 | 0 | 0       | -100 | -100 |
| Alliance for Sustainable Energy, LLC-F7FD                              | 1 | 17,157  | 0 | 0       | -100 | -100 |
| Amgen-9841   | 0 | 0       | 1 | 100,007 | 100  | 100  |
| AMPAC Inc.-VH53  | 0 | 0       | 1 | 41,709  | 100  | 100  |
| Applied Materials, Inc.-7845   | 0 | 0       | 1 | 90,000  | 100  | 100  |
| Areté Associates-VIFE  | 1 | 57,873  | 0 | 0       | -100 | -100 |
| Bae Systems-4288   | 4 | 180,000 | 1 | 80,000  | -75  | -56  |
| Barron Associates, Inc.-VD2N   | 0 | 0       | 1 | 38,000  | 100  | 100  |
| Bayer Ag (Incl Miles Lab, Cropscience, Healthcare, Etc) (Germany)-6834 | 0 | 0       | 1 | 363,775 | 100  | 100  |
| BlueLight Therapeutics-VAGU  | 0 | 0       | 2 | 188,900 | 100  | 100  |
| Charles Stark Draper Laboratory, Inc.-7371                             | 1 | 82,500  | 0 | 0       | -100 | -100 |
| Chevron Corporation-8281   | 0 | 0       | 1 | 160,001 | 100  | 100  |
| Chevron Phillips Chemical Company LLC-VEGH                             | 2 | 120,000 | 1 | 90,000  | -50  | -25  |
| Chinook Therapeutics-VLRZ  | 0 | 0       | 1 | 388,746 | 100  | 100  |
| CZero-VJZQ   | 1 | 31,626  | 1 | 188,097 | 0    | 495  |
| DCS Corporation-F4E4   | 0 | 0       | 3 | 175,000 | 100  | 100  |
| Denso Corporation (Japan)-3366   | 2 | 194,250 | 0 | 0       | -100 | -100 |
| DOW Chemical Company-8386  | 2 | 488,834 | 0 | 0       | -100 | -100 |
| DOW Inc.-VLJ0  | 0 | 0       | 1 | 304,358 | 100  | 100  |
| Effector Therapeutics, Inc.-VD09                                       | 1 | 11,359  | 0 | 0       | -100 | -100 |
| Electro Scientific Industries, Inc.-VKFT                               | 1 | 146,353 | 1 | 290,290 | 0    | 98   |



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|---------------------|------------------------|-----------------------|---------------|----------------|
| <b>Parameters:</b>  |                        | <b>Report Totals:</b> | <b>Count:</b> | <b>Amount:</b> |
| Fiscal Year:        | 2020                   | FY 2020:              | 975           | 235,277,896    |
| Dates: (Award Date) | 7/1/2019 To: 6/30/2020 | FY 2019:              | 967           | 216,365,166    |
|                     |                        | Percent Change:       | 1             | 9              |

| INDUSTRY   | FY 2019: Count | Amount  | FY 2020: Count | Amount    | % Count | % Amount |
|--|----------------|---------|----------------|-----------|---------|----------|
| Endogena, Inc.-VHC0  | 0              | 0       | 1              | 457,469   | 100     | 100      |
| Exxon Mobil Corporation-8492   | 1              | 240,000 | 1              | 30,000    | 0       | -88      |
| Exxon Mobil Upstream Research Company-VA33                                   | 1              | 497,948 | 0              | 0         | -100    | -100     |
| Filmtec Corporation-VK42   | 1              | 411,689 | 0              | 0         | -100    | -100     |
| Freedom Photonics Llc-FD2A   | 4              | 334,232 | 3              | 316,875   | -25     | -5       |
| Freudenberg SE-VJQL  | 1              | 22,669  | 0              | 0         | -100    | -100     |
| General Dynamics Corporation (Incl Aerospace,marine,combat,&Info Syst)-8496  | 0              | 0       | 1              | 240,979   | 100     | 100      |
| GenXComm Inc.-VHC7   | 1              | 100,000 | 0              | 0         | -100    | -100     |
| Geosyntec Consultants-6143   | 0              | 0       | 2              | 104,456   | 100     | 100      |
| Google Inc.-FE36   | 2              | 504,595 | 1              | 344,902   | -50     | -32      |
| Hewlett-Packard-8565   | 1              | 0       | 1              | 1,039,949 | 0       | 100      |
| Honeywell, Inc. (Includes Sperry Flight & Tetrattech Data Systems, Inc)-8572 | 2              | 392,468 | 1              | 861,500   | -50     | 120      |
| HRL Laboratories-2436  | 0              | 0       | 1              | 40,000    | 100     | 100      |
| IHI Corporation-VB3D   | 2              | 480,000 | 1              | 500,000   | -50     | 4        |
| Intel Corporation-8635   | 1              | 150,000 | 2              | 250,000   | 100     | 67       |
| Japan Science And Technology Corporation (Japan)-4230                        | 2              | 146,077 | 0              | 0         | -100    | -100     |
| John Wood Group PLC-VJ68   | 1              | 47,129  | 2              | 54,029    | 100     | 15       |
| Kimetrica-VKY0   | 0              | 0       | 1              | 447,372   | 100     | 100      |
| Lawrence Livermore National Security, Llc-FC57                               | 0              | 0       | 2              | 311,192   | 100     | 100      |
| Lockheed Martin Corporation-8752   | 1              | 94,743  | 0              | 0         | -100    | -100     |
| Luna Innovations Incorporated-5447   | 1              | 300,000 | 1              | 290,000   | 0       | -3       |

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|                     |                        | Percent Change:       | 1             | 9              |

|  | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
|--|----------------|--------|----------------|--------|---------|----------|
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INDUSTRY

|  |   |           |    |           |      |      |
|--|---|-----------|----|-----------|------|------|
| Manufacturing Techniques, Inc.-VIRJ  | 1 | 65,000    | 0  | 0         | -100 | -100 |
| Maxim Integrated Products, Inc.-3916                                       | 1 | 125,000   | 0  | 0         | -100 | -100 |
| Mellanox Technologies, Ltd.-VJKD   | 1 | 103,000   | 0  | 0         | -100 | -100 |
| Mirios, Inc.-VK02  | 0 | 0         | 2  | 80,000    | 100  | 100  |
| Mission Support and Test Services-VJ9A                                     | 3 | 115,000   | 3  | 75,000    | 0    | -35  |
| Mitsubishi Group (Japan)-7752  | 9 | 1,500,000 | 11 | 1,500,000 | 22   | 0    |
| MixComm, Inc.-VLAG   | 0 | 0         | 1  | 50,001    | 100  | 100  |
| Morton Photonics-VBY0  | 6 | 1,425,000 | 0  | 0         | -100 | -100 |
| Nexus Photonics-VIEK   | 1 | 50,000    | 1  | 300,000   | 0    | 500  |
| Nike Inc.-V9XY   | 0 | 0         | 1  | 200,000   | 100  | 100  |
| Nimbus Services-VABO   | 2 | 200,000   | 1  | 75,000    | -50  | -63  |
| Northrop Grumman Corporation (Incl Logicon Inc, Xetron Corporation)-8941   | 0 | 0         | 1  | 100,000   | 100  | 100  |
| Novartis Pharmaceutical (Switzerland) (Merger Of Ciba-Geigy & Sandoz)-9077 | 1 | 108,571   | 0  | 0         | -100 | -100 |
| Oculus VR, LLC-VDCG  | 1 | 359,077   | 0  | 0         | -100 | -100 |
| Oxford Policy Management-VE6W  | 1 | 199,605   | 1  | 125,871   | 0    | -37  |
| Pfizer Inc. (Incl Warner-Lamber And Parke-Davis)-8983                      | 0 | 0         | 1  | 140,001   | 100  | 100  |
| Pratt & Whitney-F688   | 1 | 175,000   | 3  | 540,000   | 200  | 209  |
| Questek Innovations-V8WN   | 1 | 220,000   | 0  | 0         | -100 | -100 |
| Raytheon Applied Signal Technology, Inc. (Sunnyvale, Ca)-7440              | 1 | 139,956   | 1  | 167,626   | 0    | 20   |
| Raytheon BBN Technologies Corp.-FFE7                                       | 4 | 866,061   | 4  | 450,000   | 0    | -48  |
| Rendever-VI3E  | 0 | 0         | 1  | 69,107    | 100  | 100  |

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|                     |                        | Percent Change:       | 1             | 9              |

| INDUSTRY   | FY 2019: Count | Amount  | FY 2020: Count | Amount    | % Count | % Amount |
|--|----------------|---------|----------------|-----------|---------|----------|
| Rilee Systems Technologies-VI9T  | 2              | 233,470 | 2              | 140,258   | 0       | -40      |
| Rockly Photonics Inc.-VCH3   | 0              | 0       | 1              | 150,924   | 100     | 100      |
| Samsung-0053   | 2              | 219,997 | 2              | 220,000   | 0       | 0        |
| Saudi Arabia Basic Industries Corporation-VBWS                               | 1              | 125,000 | 0              | 0         | -100    | -100     |
| Siemens (Incl U.S. Subsidiaries) (Germany)-7076                              | 1              | 300,000 | 1              | 49,873    | 0       | -83      |
| Simpson And Simpson Business And Personnel Services, Inc.-1811               | 0              | 0       | 1              | 6,393,613 | 100     | 100      |
| Sony Corporation (Japan)-1382  | 0              | 0       | 1              | 100,000   | 100     | 100      |
| Synoptic Engineering-VL5F  | 0              | 0       | 3              | 38,258    | 100     | 100      |
| Systemiq-VJNW  | 1              | 140,000 | 0              | 0         | -100    | -100     |
| Takeda Chemical Industries, Ltd. (Incl Takeda Pharm.No America) (Japan)-7098 | 0              | 0       | 1              | 135,285   | 100     | 100      |
| Teledyne (Incl Electronic Tech, Microwave, Adv Materials, Relay, Etc)-9201   | 6              | 381,604 | 2              | 120,897   | -67     | -68      |
| The Schmidt Family Foundation-F2BD   | 2              | 662,115 | 1              | 400,230   | -50     | -40      |
| The Sherwin-Williams Company-VEGZ  | 1              | 140,000 | 0              | 0         | -100    | -100     |
| Toyon Research Corporation-2884  | 4              | 129,577 | 0              | 0         | -100    | -100     |
| Transphorm, Inc.-FC9A  | 1              | 32,037  | 0              | 0         | -100    | -100     |
| Triad National Security LLC-VJD2   | 4              | 330,680 | 1              | 49,999    | -75     | -85      |
| Ultra Low Loss Technologies-VK9N   | 0              | 0       | 1              | 37,500    | 100     | 100      |
| United Technologies Corp(Intl Fuel Cells&United Tech Res Ctr,sikorsky)-9251  | 1              | 100,000 | 0              | 0         | -100    | -100     |
| Verizon Innovation, LLC-VKMN   | 0              | 0       | 1              | 200,000   | 100     | 100      |
| W.L. Gore & Associates, Inc.-9421  | 1              | 20,000  | 0              | 0         | -100    | -100     |

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|                     |          |               | Percent Change:       | 1             | 9              |

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|--|----------------|--------|----------------|--------|---------|----------|
|  | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
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INDUSTRY

|                        |            |                   |           |                   |            |           |
|------------------------|------------|-------------------|-----------|-------------------|------------|-----------|
| <b>Total: INDUSTRY</b> | <b>101</b> | <b>13,964,252</b> | <b>88</b> | <b>19,697,049</b> | <b>-13</b> | <b>41</b> |
|------------------------|------------|-------------------|-----------|-------------------|------------|-----------|

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|                     |                        | Percent Change:       | 1             | 9              |

|                 | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
|-----------------|----------------|--------|----------------|--------|---------|----------|
| STATE AND LOCAL |                |        |                |        |         |          |

|   |    |           |    |           |      |      |
|---|----|-----------|----|-----------|------|------|
| Cal Arts Council-6672   | 2  | 53,903    | 0  | 0         | -100 | -100 |
| Cal Department of Boating and Waterways-6525                                | 1  | 40,000    | 1  | 29,500    | 0    | -26  |
| Cal Department Of Education-6376  | 12 | 765,172   | 10 | 955,033   | -17  | 25   |
| Cal Department Of Fish and Wildlife-6530                                    | 0  | 0         | 2  | 280,721   | 100  | 100  |
| Cal Department Of Forestry-6522   | 1  | 506,800   | 0  | 0         | -100 | -100 |
| Cal Department of Industrail Relations-6391                                 | 1  | 1,000     | 0  | 0         | -100 | -100 |
| Cal Department of Parks and Recreation-6540                                 | 3  | 505,250   | 2  | 13,834    | -33  | -97  |
| Cal EPA Air Resources Board-6533  | 0  | 0         | 1  | 1,500,000 | 100  | 100  |
| Cal Ocean Protection Council-AEBE   | 0  | 0         | 1  | 1,693,582 | 100  | 100  |
| Cal Ra Water Resources, Department Of(Incl Interagency Ecological Prg)-6550 | 0  | 0         | 1  | 108,000   | 100  | 100  |
| Cal State Lands Commission-6504   | 1  | 657,563   | 0  | 0         | -100 | -100 |
| Cal State University Chico-FC8C   | 0  | 0         | 1  | 345,313   | 100  | 100  |
| Cal Wildlife Conservation Board-F972  | 2  | 3,403,828 | 1  | 32,300    | -50  | -99  |
| California State University-6536  | 1  | 12,000    | 0  | 0         | -100 | -100 |
| First 5 Santa Barbara County-AF51   | 0  | 0         | 1  | 215,097   | 100  | 100  |
| Goleta Union School District-VG70   | 1  | 25,000    | 1  | 151,810   | 0    | 507  |
| Malibu, City Of-0908  | 0  | 0         | 1  | 199,988   | 100  | 100  |
| Santa Barbara County Office of Arts and Culture-VLGD                        | 0  | 0         | 1  | 8,000     | 100  | 100  |
| Santa Barbara County Special Education Local Plan Area Office-VCXO          | 0  | 0         | 1  | 63,429    | 100  | 100  |
| Santa Barbara Unified School District-3708                                  | 0  | 0         | 2  | 224,072   | 100  | 100  |
| Santa Barbara, City Of-6992   | 0  | 0         | 1  | 34,992    | 100  | 100  |
| Santa Barbara, County of-6994   | 2  | 97,743    | 4  | 219,448   | 100  | 125  |

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|-------------------------------|----------------|------------------|-----------------------|------------------|----------------|----------|
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|                               |                |                  | Percent Change:       | 1                | 9              |          |
|                               | FY 2019: Count | Amount           | FY 2020: Count        | Amount           | % Count        | % Amount |
| <b>Total: STATE AND LOCAL</b> | <b>27</b>      | <b>6,068,259</b> | <b>32</b>             | <b>6,075,119</b> | <b>19</b>      | <b>0</b> |

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|    | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
|----|----------------|--------|----------------|--------|---------|----------|
| UC |                |        |                |        |         |          |

|   |    |           |    |           |      |        |
|---|----|-----------|----|-----------|------|--------|
| UC Agriculture And Natural Resources-6774             | 2  | 16,800    | 1  | 10,917    | -50  | -35    |
| UC Berkeley-UCB-6761                                  | 10 | 1,279,729 | 7  | 878,879   | -30  | -31    |
| UC California Math Project-6724                       | 2  | 36,635    | 2  | 36,635    | 0    | 0      |
| UC California Science Project-6740                    | 2  | 56,859    | 2  | 57,000    | 0    | 0      |
| UC California Subject Matter Project-6727             | 3  | 242,276   | 3  | 242,276   | 0    | 0      |
| UC Cancer Research Coordinating Committee-6728        | 5  | 366,941   | 1  | 75,000    | -80  | -80    |
| UC Davis-6763   | 4  | 167,135   | 5  | 353,873   | 25   | 112    |
| UC Global Health Insitute-V800                        | 2  | 0         | 0  | 0         | -100 | -100   |
| UC Humanities Research Institute-3955                 | 1  | 5,000     | 0  | 0         | -100 | -100   |
| UC Irvine-6772  | 1  | 10,071    | 1  | 10,000    | 0    | -1     |
| UC Lab Fees Research Program-F8F4                     | 1  | 20,000    | 2  | 2,758,361 | 100  | 13,692 |
| UC Links (University-Community Links)-6755            | 5  | 65,500    | 2  | 50,000    | -60  | -24    |
| UC Los Angeles-6764                                   | 6  | 1,003,816 | 11 | 1,487,695 | 83   | 48     |
| UC Merced-6777  | 2  | 67,021    | 1  | 23,416    | -50  | -65    |
| UC Mesa Program-6703                                  | 2  | 190,000   | 2  | 190,000   | 0    | 0      |
| UC Mexus-6732   | 11 | 114,633   | 3  | 87,168    | -73  | -24    |
| UC Multicampus Research Prgorams and Initiatives-F4A9 | 5  | 1,357,547 | 2  | 413,413   | -60  | -70    |
| UC Office Of The President-6773                       | 2  | 1,099,544 | 6  | 1,225,839 | 200  | 11     |
| UC Riverside-6765                                     | 11 | 1,394,853 | 9  | 898,003   | -18  | -36    |
| UC San Diego-6778                                     | 7  | 1,523,442 | 10 | 1,121,035 | 43   | -26    |
| UC San Francisco (UCSF)-6762                          | 2  | 240,888   | 4  | 288,988   | 100  | 20     |
| UC Santa Cruz-6769                                    | 7  | 894,125   | 4  | 230,247   | -43  | -74    |
| UC Sea Grant College Program-6735                     | 6  | 275,636   | 5  | 158,362   | -17  | -43    |

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|--|-----------------------|---------------|-----------------------|---------------|----------------|-----------------|
|  | <u>FY 2019: Count</u> | <u>Amount</u> | <u>FY 2020: Count</u> | <u>Amount</u> | <u>% Count</u> | <u>% Amount</u> |
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|                  |  |           |                   |           |                   |            |
|------------------|--|-----------|-------------------|-----------|-------------------|------------|
| UC               |  |           |                   |           |                   |            |
|                  | UC Tobacco-Related Disease Research Program-Trdrp-6739 | 0         | 0                 | 2         | 531,982           | 100        |
| <b>Total: UC</b> |  | <b>99</b> | <b>10,428,451</b> | <b>85</b> | <b>11,129,089</b> | <b>-14</b> |
|                  |  |           |                   |           | <b>7</b>          |            |



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|                     |          |               | Percent Change:       | 1             | 9              |

|  | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
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NOT PROFIT

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|---|---|-----------|---|---------|------|------|
| Aerospace Corporation-8007  | 1 | 100,000   | 0 | 0       | -100 | -100 |
| Alfred P. Sloan Foundation-8020   | 1 | 70,000    | 2 | 185,115 | 100  | 164  |
| American Chemical Society-8036  | 0 | 0         | 4 | 440,000 | 100  | 100  |
| American Cncl Of Learned Societies-8042                                     | 3 | 250,000   | 1 | 50,000  | -67  | -80  |
| American Diabetes Assn-8048   | 1 | 81,250    | 5 | 386,518 | 400  | 376  |
| American Genetic Association-F876   | 1 | 9,387     | 0 | 0       | -100 | -100 |
| American Heart Assn-8056  | 1 | 110,456   | 0 | 0       | -100 | -100 |
| American Physical Society-8085  | 2 | 19,608    | 0 | 0       | -100 | -100 |
| American Public Health Association-9840                                     | 0 | 0         | 1 | 15,000  | 100  | 100  |
| Ames Laboratory-V8DH  | 1 | 305,000   | 2 | 270,000 | 100  | -11  |
| Andrew W. Mellon Foundation (The)-8107                                      | 1 | 1,674,000 | 0 | 0       | -100 | -100 |
| Arab Community Center for Economic and Social Services-VLFD                 | 0 | 0         | 1 | 1,250   | 100  | 100  |
| Argonne National Laboratory-F6CB  | 2 | 290,491   | 1 | 152,490 | -50  | -48  |
| Arnold And Mabel Beckman Foundation-1015                                    | 2 | 158,467   | 0 | 0       | -100 | -100 |
| Assn for Asian Studies, Inc.-0355   | 0 | 0         | 1 | 5,000   | 100  | 100  |
| Battelle Memorial Inst (Incl Battelle Energy Alliance, Idaho Natl Lab)-8143 | 1 | 71,080    | 0 | 0       | -100 | -100 |
| Bill & Melinda Gates Foundation-3243  | 0 | 0         | 1 | 300,000 | 100  | 100  |
| Bioversity International-6989   | 0 | 0         | 1 | 41,937  | 100  | 100  |
| Brain and Behavior Research Foundation-7298                                 | 1 | 17,500    | 4 | 87,320  | 300  | 399  |
| Breakthrough Starshot Foundation LLC-VJWX                                   | 1 | 150,000   | 1 | 116,600 | 0    | -22  |
| California Native Plant Society-VLD1  | 0 | 0         | 1 | 15,000  | 100  | 100  |
| California Sea Urchin Commission-FF3D                                       | 0 | 0         | 1 | 6,155   | 100  | 100  |

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|                     |                        | Percent Change:       | 1             | 9              |

|            | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
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| NOT PROFIT |                |        |                |        |         |          |

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|---|---|---------|---|---------|------|------|
| Camille & Henry Dreyfus Foundation-8236                               | 1 | 75,000  | 0 | 0       | -100 | -100 |
| Cary Institute of Ecosystem Studies-5494                              | 1 | 7,827   | 0 | 0       | -100 | -100 |
| Catena Foundation-VIYC  | 0 | 0       | 1 | 359,323 | 100  | 100  |
| Center for Community Change-VE90                                      | 1 | 78,835  | 0 | 0       | -100 | -100 |
| Central Research Institute Of Electric Power Industry (Japan)-2134    | 0 | 0       | 1 | 100,000 | 100  | 100  |
| Centro De Investigacion Cientifica De Ensenada (Cicese)(Mexico)-0778  | 0 | 0       | 1 | 157,452 | 100  | 100  |
| Charles Koch Foundation-F3E9  | 0 | 0       | 1 | 45,000  | 100  | 100  |
| College Advising Corps-VCRJ   | 0 | 0       | 1 | 166,221 | 100  | 100  |
| Columbia University (Incl Columbia-Presbyterian Medical Center)-9564  | 3 | 562,156 | 2 | 215,867 | -33  | -62  |
| Community Action Commission of Santa Barbara County-VBLK              | 1 | 35,000  | 0 | 0       | -100 | -100 |
| Community Environmental Council-VIUU                                  | 1 | 59,400  | 0 | 0       | -100 | -100 |
| Conservation International Foundation-7907                            | 3 | 198,773 | 2 | 449,136 | -33  | 126  |
| Council On Library Resources-8346                                     | 1 | 20,000  | 1 | 9,200   | 0    | -54  |
| Cpm Educational Program-0602  | 1 | 249,990 | 0 | 0       | -100 | -100 |
| Curepsp-V9GK  | 1 | 3,000   | 0 | 0       | -100 | -100 |
| David And Lucile Packard Foundation (The)-9072                        | 1 | 875,000 | 1 | 236,500 | 0    | -73  |
| Dr. Miriam And Sheldon G. Adelson Medical Research Foundation-FE7C    | 1 | 350,000 | 2 | 350,000 | 100  | 0    |
| Edward N. & Della L. Thome Memorial Foundation-AF46                   | 1 | 250,000 | 0 | 0       | -100 | -100 |
| Environmental Defense Fund-8454                                       | 1 | 50,000  | 2 | 134,164 | 100  | 168  |
| European Union (Incl European Commission, Parliament, Bank, Etc)-7104 | 1 | 5,844   | 1 | 5,657   | 0    | -3   |
| Fermi Research Alliance, LLC (Fra) (Incl Fermilab-Doe Goco)-FEB7      | 5 | 374,322 | 5 | 619,845 | 0    | 66   |

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|  | FY 2019: Count        | Amount        | FY 2020: Count |
|  | Amount                | % Count       | % Amount       |
| NOT PROFIT                                 |                       |               |                |

|  |   |         |   |           |      |      |
|--|---|---------|---|-----------|------|------|
| Fight For Sight, Inc. (Prevent Blindness America)-8461     | 0 | 0       | 1 | 2,500     | 100  | 100  |
| Fighting Back Santa Maria Valley-VJM4                      | 1 | 44,956  | 0 | 0         | -100 | -100 |
| Freeman Foundation, (The)-2167                             | 1 | 120,000 | 1 | 136,311   | 0    | 14   |
| French American Culture Exchange (FACE) (France)-6848      | 0 | 0       | 1 | 10,000    | 100  | 100  |
| Fund For Santa Barbara, Inc.-8477                          | 1 | 3,000   | 0 | 0         | -100 | -100 |
| Global Canopy-VJAB   | 4 | 73,615  | 0 | 0         | -100 | -100 |
| Global Fishing Watch-VIOD                                  | 1 | 125,000 | 1 | 14,579    | 0    | -88  |
| Global Integrity-VJQX                                      | 1 | 110,560 | 2 | 165,736   | 100  | 50   |
| Gordon And Betty Moore Foundation-3954                     | 0 | 0       | 3 | 1,428,057 | 100  | 100  |
| Haskins Laboratories, Inc.-VBPO                            | 1 | 40,544  | 1 | 1,709     | 0    | -96  |
| Heising-Simons Foundation-F1C7                             | 3 | 677,448 | 5 | 905,761   | 67   | 34   |
| Howard Hughes Medical Institute-9953                       | 1 | 300,000 | 0 | 0         | -100 | -100 |
| Human Frontier Science Program Organization (Intl)-VDTV    | 1 | 298,669 | 2 | 22,297    | 100  | -93  |
| Huntington Medical Research Institutes-FDE5                | 0 | 0       | 2 | 242,513   | 100  | 100  |
| Intel Foundation-2219                                      | 0 | 0       | 1 | 93,333    | 100  | 100  |
| Jack Kent Cooke Foundation-FF72                            | 1 | 123,634 | 1 | 0         | 0    | -100 |
| James S. McDonnell Foundation (The)-9979                   | 1 | 200,000 | 0 | 0         | -100 | -100 |
| Japan Foundation (The)-8666                                | 0 | 0       | 1 | 50,696    | 100  | 100  |
| John E. Fetzer Memorial Trust-VBQF                         | 2 | 176,049 | 0 | 0         | -100 | -100 |
| John Randolph Haynes And Dora Haynes Foundation (The)-8679 | 0 | 0       | 1 | 48,001    | 100  | 100  |
| John Templeton Foundation-0644                             | 2 | 468,740 | 1 | 234,735   | -50  | -50  |
| Kinship Foundation-XXZO                                    | 0 | 0       | 1 | 100,000   | 100  | 100  |
| Larry L. Hillblom Foundation, The-4160                     | 1 | 300,000 | 1 | 300,000   | 0    | 0    |

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|            | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
|------------|----------------|--------|----------------|--------|---------|----------|
| NOT PROFIT |                |        |                |        |         |          |

|  |    |           |    |           |      |      |
|--|----|-----------|----|-----------|------|------|
| Leona M. And Harry B. Helmsley Charitable Trust-F6E9                       | 1  | 250,000   | 2  | 270,000   | 100  | 8    |
| Life Sciences Research Foundation-8751                                     | 0  | 0         | 4  | 62,000    | 100  | 100  |
| Los Alamos National Laboratory-FFDD  | 1  | 150,000   | 2  | 210,000   | 100  | 40   |
| Max Planck Institute for Evolutionary Anthropology-VAKG                    | 1  | 278,641   | 0  | 0         | -100 | -100 |
| Mizutani Foundation For Glycoscience (Japan)-1597                          | 1  | 50,000    | 0  | 0         | -100 | -100 |
| Moorfields Eye Charity-VHY5  | 1  | 126,177   | 2  | 180,886   | 100  | 43   |
| National Council of Teachers of English-8887                               | 1  | 10,000    | 0  | 0         | -100 | -100 |
| National Geographic Society-8902   | 3  | 296,144   | 4  | 472,047   | 33   | 59   |
| National Organization of Research Development Professionals-VK5B           | 0  | 0         | 1  | 1,500     | 100  | 100  |
| National Philanthropic Trust-V9HL  | 4  | 2,123,998 | 3  | 404,214   | -25  | -81  |
| Natl Fish And Wildlife Foundation-7834                                     | 2  | 317,034   | 2  | 578,823   | 0    | 83   |
| Natural Resources Defense Council-7495                                     | 1  | 79,715    | 0  | 0         | -100 | -100 |
| Nature Conservancy-7262  | 17 | 2,166,338 | 15 | 1,789,488 | -12  | -17  |
| Netherlands Organisation for Scientific Research-FC76                      | 1  | 35,941    | 0  | 0         | -100 | -100 |
| New Venture Fund-F6ED  | 1  | 272,275   | 0  | 0         | -100 | -100 |
| No Kid Hungry-VIS4   | 1  | 20,000    | 1  | 15,000    | 0    | -25  |
| Norwegian Institute for Nature Research-VIBT                               | 1  | 38,500    | 1  | 38,500    | 0    | 0    |
| Oak Ridge Natl Lab-5080  | 12 | 748,667   | 6  | 426,270   | -50  | -43  |
| Pacific Northwest National Laboratories-8149                               | 2  | 793,256   | 2  | 170,422   | 0    | -79  |
| Paul M. Angell Family Foundation-VJ7X                                      | 1  | 68,000    | 1  | 32,000    | 0    | -53  |
| Pew Charitable Trusts (The)(Incl Pew Center On Global Climate Change)-9448 | 4  | 336,854   | 0  | 0         | -100 | -100 |
| Philanthropic Ventures Foundation-VJPI                                     | 1  | 9,960     | 0  | 0         | -100 | -100 |

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| NOT PROFIT |                |        |                |        |         |          |

|  |   |           |    |           |      |       |
|--|---|-----------|----|-----------|------|-------|
| Rainwater Charitable Foundation-VA56                     | 3 | 1,000,000 | 2  | 300,000   | -33  | -70   |
| Rare-V9LG  | 1 | 100,000   | 0  | 0         | -100 | -100  |
| Robert Wood Johnson Foundation (The)-8692                | 1 | 199,229   | 0  | 0         | -100 | -100  |
| Rockefeller Philanthropy Advisors-F93B                   | 0 | 0         | 1  | 25,000    | 100  | 100   |
| Rockefeller Family Fund-VKB5                             | 1 | 8,500     | 1  | 20,000    | 0    | 135   |
| Russell Sage Foundation-9060                             | 2 | 160,913   | 1  | 20,540    | -50  | -87   |
| Sandia National Laboratories-9070                        | 0 | 0         | 2  | 125,000   | 100  | 100   |
| Sanford-Burnham Medical Research Institute-2168          | 2 | 457,577   | 1  | 38,750    | -50  | -92   |
| Santa Barbara Alliance for Community Transformation-VIX0 | 2 | 26,880    | 1  | 30,703    | -50  | 14    |
| Santa Barbara Cottage Hospital-7841                      | 2 | 66,532    | 2  | 44,250    | 0    | -33   |
| Santa Clara River Conservancy-VJLJ                       | 0 | 0         | 1  | 159,275   | 100  | 100   |
| Schlumberger Foundation-F164                             | 1 | 2,699     | 1  | 43,748    | 0    | 1,521 |
| Semiconductor Research Corporation-9102                  | 9 | 7,608,646 | 7  | 7,403,905 | -22  | -3    |
| Simons Foundation-FE2E                                   | 4 | 294,387   | 11 | 1,258,000 | 175  | 327   |
| Smith Richardson Foundation, Inc.-9122                   | 1 | 11,000    | 0  | 0         | -100 | -100  |
| Society For Conservation Biology-7207                    | 2 | 117,171   | 0  | 0         | -100 | -100  |
| Society of Family Planning-FB3F                          | 0 | 0         | 2  | 52,529    | 100  | 100   |
| Spencer Foundation-9154                                  | 0 | 0         | 1  | 49,626    | 100  | 100   |
| Sri International (Incl Sarnoff Corporation)-9159        | 1 | 90,367    | 0  | 0         | -100 | -100  |
| Stockholm Environment Institute-FA87                     | 0 | 0         | 1  | 65,041    | 100  | 100   |
| Tahoe Regional Planning Agency (Trpa)-7389               | 1 | 15,130    | 1  | 5,000     | 0    | -67   |
| Terra Foundation for American Art-FDD9                   | 0 | 0         | 1  | 14,000    | 100  | 100   |
| The Brain Research Foundation-V8M0                       | 0 | 0         | 1  | 40,000    | 100  | 100   |

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|                     |          |               | FY 2019: Count        | Amount        | FY 2020: Count | Amount | % Count | % Amount |
| <b>NOT PROFIT</b>   |          |               |                       |               |                |        |         |          |

|  |    |           |    |           |      |      |
|--|----|-----------|----|-----------|------|------|
| The Builders Initiative-VKVP                                       | 0  | 0         | 1  | 250,533   | 100  | 100  |
| The Grantham Foundation for the Protection of the Environment-VK4M | 1  | 188,075   | 0  | 0         | -100 | -100 |
| The Helen Hay Whitney Foundation-8546                              | 0  | 0         | 1  | 55,500    | 100  | 100  |
| The Huntington Library-FC4C  | 2  | 100,000   | 0  | 0         | -100 | -100 |
| U.S.-Israel Binat'I Science Foundation (Bsf) (Intl)-7350           | 3  | 80,000    | 4  | 83,730    | 33   | 5    |
| UC Lawrence Berkeley Laboratory (LBNL)-6760                        | 11 | 1,384,126 | 15 | 1,399,009 | 36   | 1    |
| W.K. Kellogg Foundation-9296                                       | 2  | 327,449   | 0  | 0         | -100 | -100 |
| Waitt Family Foundation-4187                                       | 1  | 600,000   | 2  | 1,361,919 | 100  | 127  |
| Walton Family Foundation, Inc.-FF5A                                | 1  | 20,000    | 2  | 186,210   | 100  | 831  |
| WGBH Educational Foundation-VFE1                                   | 1  | 385,848   | 0  | 0         | -100 | -100 |
| Whitehall Foundation-9328  | 1  | 225,000   | 0  | 0         | -100 | -100 |
| William M. Keck Foundation-9323                                    | 1  | 1,000,000 | 2  | 2,000,000 | 100  | 100  |
| William T. Grant Foundation-8514                                   | 1  | 49,956    | 0  | 0         | -100 | -100 |
| World Resources Institute-9376                                     | 0  | 0         | 1  | 65,000    | 100  | 100  |
| Zegar Family Foundation-VGBY                                       | 3  | 484,518   | 5  | 891,995   | 67   | 84   |

|                          |            |                   |            |                   |          |            |
|--------------------------|------------|-------------------|------------|-------------------|----------|------------|
| <b>Total: NOT PROFIT</b> | <b>181</b> | <b>32,549,417</b> | <b>189</b> | <b>29,101,524</b> | <b>4</b> | <b>-11</b> |
|--------------------------|------------|-------------------|------------|-------------------|----------|------------|

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|  |    |           |   |           |      |      |
|--|----|-----------|---|-----------|------|------|
| Arizona State University-Tempe-8123                                  | 6  | 992,557   | 8 | 1,263,728 | 33   | 27   |
| Assn Of Univ For Res Astronomy (Aka Space Teles Sci Inst)-9896       | 12 | 383,846   | 9 | 311,445   | -25  | -19  |
| Bermuda Institute of Ocean Sciences-V8RT                             | 1  | 234,000   | 1 | 234,000   | 0    | 0    |
| Boise State University-5997  | 1  | 80,960    | 1 | 45,229    | 0    | -44  |
| Boston University-8166   | 2  | 297,341   | 2 | 155,557   | 0    | -48  |
| Brown University-9961  | 0  | 0         | 1 | 37,800    | 100  | 100  |
| California Institute Of Technology-Cal Tech-8218                     | 3  | 1,042,499 | 1 | 249,999   | -67  | -76  |
| California Polytechnic State University, San Luis Obispo-VC2S        | 0  | 0         | 1 | 36,110    | 100  | 100  |
| California State University, Fresno-VB76                             | 0  | 0         | 1 | 97,358    | 100  | 100  |
| Carnegie Mellon University-8351                                      | 0  | 0         | 1 | 30,326    | 100  | 100  |
| Chapman University-F229  | 1  | 238,562   | 1 | 178,601   | 0    | -25  |
| Colorado State University-8304                                       | 1  | 450,000   | 0 | 0         | -100 | -100 |
| Columbia University (Incl Columbia-Presbyterian Medical Center)-9564 | 3  | 562,156   | 2 | 215,867   | -33  | -62  |
| Cornell University-8329  | 4  | 730,492   | 7 | 1,132,845 | 75   | 55   |
| Council Of Graduate Schools-5893                                     | 2  | 26,667    | 4 | 49,333    | 100  | 85   |
| Coventry University-VIHN   | 0  | 0         | 2 | 92,965    | 100  | 100  |
| CSU Fullerton-7356   | 1  | 10,094    | 1 | 10,017    | 0    | -1   |
| CSU Northridge; The University Corporation-VAV1                      | 0  | 0         | 1 | 220,000   | 100  | 100  |
| CSU San Diego State University-9076                                  | 1  | 99,850    | 0 | 0         | -100 | -100 |
| CSU San Marcos-0103  | 1  | 12,819    | 1 | 13,293    | 0    | 4    |
| Drexel University (Incl College Of Medicine, Mcp Hahnemann)-3721     | 1  | 54,646    | 0 | 0         | -100 | -100 |
| Duke University-8394   | 0  | 0         | 1 | 34,932    | 100  | 100  |
| George Mason University-7497   | 2  | 138,057   | 0 | 0         | -100 | -100 |

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| HIGHER ED |                |        |                |        |         |          |

|  |   |         |   |           |      |       |
|--|---|---------|---|-----------|------|-------|
| George Washington University-8527                                | 0 | 0       | 1 | 7,840     | 100  | 100   |
| Georgia Institute Of Technology-8513                             | 2 | 593,118 | 3 | 430,198   | 50   | -27   |
| Harvard University-8537  | 1 | 157,563 | 1 | 117,991   | 0    | -25   |
| Hong Kong University Of Science And Technology, (Hong Kong)-1667 | 1 | 68,644  | 0 | 0         | -100 | -100  |
| Jackson State University-2652                                    | 1 | 100,000 | 1 | 100,000   | 0    | 0     |
| Jet Propulsion Laboratory-JPL-8668                               | 4 | 324,457 | 5 | 406,662   | 25   | 25    |
| Johns Hopkins University-8688                                    | 1 | 125,000 | 1 | 125,000   | 0    | 0     |
| Montana State University-0141                                    | 1 | 11,632  | 0 | 0         | -100 | -100  |
| New York University-8911   | 0 | 0       | 2 | 12,410    | 100  | 100   |
| Northeastern University-0984                                     | 2 | 462,029 | 2 | 41,891    | 0    | -91   |
| Oak Ridge Associated Universities-7839                           | 1 | 34,000  | 0 | 0         | -100 | -100  |
| Ohio State University (Includes Research Foundation)-7200        | 2 | 294,750 | 3 | 279,698   | 50   | -5    |
| Oregon State University-8956                                     | 0 | 0       | 3 | 301,491   | 100  | 100   |
| Penn State University (Incl Penn State Research Foundation)-8979 | 1 | 25,000  | 0 | 0         | -100 | -100  |
| Princeton University-9003  | 0 | 0       | 2 | 93,624    | 100  | 100   |
| Rice University-7565   | 1 | 150,000 | 0 | 0         | -100 | -100  |
| Royal College of Surgeons in Ireland-VHIN                        | 0 | 0       | 1 | 20,345    | 100  | 100   |
| Rutgers University-9062  | 1 | 15,351  | 1 | 15,350    | 0    | 0     |
| San Jose State University Foundation-9996                        | 1 | 80,000  | 4 | 610,747   | 300  | 663   |
| SLAC National Accelerator Lab (SLAC)-FF33                        | 2 | 168,699 | 2 | 448,400   | 0    | 166   |
| Society For The Study of School Psychology (SSSP)-V8V0           | 1 | 4,700   | 0 | 0         | -100 | -100  |
| Stanford University-9162   | 4 | 252,542 | 4 | 496,845   | 0    | 97    |
| State University of New York (SUNY)-9165                         | 1 | 150,000 | 7 | 1,661,033 | 600  | 1,007 |



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|---------------------|------------------------|-----------------------|---------------|----------------|
| <b>Parameters:</b>  |                        | <b>Report Totals:</b> | <b>Count:</b> | <b>Amount:</b> |
| Fiscal Year:        | 2020                   | FY 2020:              | 975           | 235,277,896    |
| Dates: (Award Date) | 7/1/2019 To: 6/30/2020 | FY 2019:              | 967           | 216,365,166    |
|                     |                        | Percent Change:       | 1             | 9              |

|           | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
|-----------|----------------|--------|----------------|--------|---------|----------|
| HIGHER ED |                |        |                |        |         |          |

|   |   |         |   |         |      |      |
|---|---|---------|---|---------|------|------|
| Texas A&M University-9196   | 3 | 965,837 | 2 | 991,678 | -33  | 3    |
| The Katholieke Universiteit Leuven (KULeuven)-3306                          | 2 | 34,714  | 1 | 94,052  | -50  | 171  |
| Universities Research Association (Operates Fermilab)-9463                  | 2 | 191,281 | 2 | 8,500   | 0    | -96  |
| University And Community College System Of Nevada (Incl Unlv,reno,dri)-9439 | 1 | 35,102  | 1 | 89,500  | 0    | 155  |
| University Corp For Atmospheric Research-Ucar-9744                          | 1 | 15,000  | 0 | 0       | -100 | -100 |
| University Of Alabama (Includes Birmingham And Huntsville)-9254             | 1 | 94,763  | 0 | 0       | -100 | -100 |
| University Of Alaska-9374   | 0 | 0       | 1 | 47,627  | 100  | 100  |
| University Of Arizona-9256  | 2 | 98,650  | 2 | 75,721  | 0    | -23  |
| University of Colorado Boulder-V8JD   | 1 | 164,040 | 2 | 448,451 | 100  | 173  |
| University Of Colorado System-9259  | 1 | 43,502  | 1 | 22,580  | 0    | -48  |
| University Of Delaware-9261   | 1 | 132,762 | 2 | 238,469 | 100  | 80   |
| University Of Georgia (Incl Skidaway Institute Of Oceanography)-9746        | 1 | 39,892  | 1 | 61,392  | 0    | 54   |
| University Of Hawaii (Incl Research Corporation Of The Univ Of Hawaii)-9263 | 1 | 47,579  | 1 | 44,983  | 0    | -5   |
| University of Illinois-9264   | 1 | 100,000 | 3 | 251,997 | 200  | 152  |
| University of Iowa-9279   | 2 | 232,939 | 1 | 137,001 | -50  | -41  |
| University Of London-0181   | 2 | 20,997  | 2 | 12,460  | 0    | -41  |
| University Of Manchester, The (Great Britain)-5339                          | 2 | 23,174  | 0 | 0       | -100 | -100 |
| University Of Maryland-9273   | 5 | 416,311 | 4 | 432,094 | -20  | 4    |
| University Of Massachusetts-7900  | 2 | 470,000 | 1 | 240,000 | -50  | -49  |
| University of Massachusetts Lowell-VBTQ                                     | 3 | 348,862 | 1 | 44,491  | -67  | -87  |
| University Of Miami-9184  | 2 | 315,401 | 0 | 0       | -100 | -100 |

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|                     |                        | Percent Change:       | 1             | 9              |

|           | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
|-----------|----------------|--------|----------------|--------|---------|----------|
| HIGHER ED |                |        |                |        |         |          |

|  |   |           |    |         |      |       |
|--|---|-----------|----|---------|------|-------|
| University Of Michigan (Incl William Davidson Institute)-9268            | 1 | 202,118   | 2  | 273,082 | 100  | 35    |
| University Of Minnesota-9281   | 5 | 1,086,135 | 3  | 401,103 | -40  | -63   |
| University Of Missouri System (Columbia/Kansas City/Rolla/St.Louis)-7673 | 1 | 79,775    | 2  | 440,725 | 100  | 452   |
| University Of New Mexico-9598  | 1 | 359,572   | 1  | 225,000 | 0    | -37   |
| University Of North Carolina at Chapel Hill-9285                         | 1 | 160,000   | 0  | 0       | -100 | -100  |
| University Of Notre Dame (Incl Gem)-9363                                 | 1 | 250,000   | 4  | 377,321 | 300  | 51    |
| University Of Ottawa (Canada)-7409                                       | 0 | 0         | 2  | 27,462  | 100  | 100   |
| University Of Pennsylvania-9293  | 0 | 0         | 1  | 9,586   | 100  | 100   |
| University Of Pittsburgh-9270  | 1 | 17,824    | 2  | 248,577 | 100  | 1,295 |
| University Of San Diego-1478   | 1 | 1,000     | 0  | 0       | -100 | -100  |
| University Of South Carolina-0136  | 1 | 59,870    | 0  | 0       | -100 | -100  |
| University of Southern California-9272                                   | 5 | 190,000   | 10 | 408,755 | 100  | 115   |
| University Of Stockholm (Sweden)-7549                                    | 1 | 20,853    | 0  | 0       | -100 | -100  |
| University Of Tennessee-9275   | 2 | 321,629   | 2  | 500,000 | 0    | 55    |
| University of Texas-Arlington-FD36                                       | 0 | 0         | 1  | 28,001  | 100  | 100   |
| University Of Texas-Austin-9278  | 1 | 863,215   | 1  | 979,286 | 0    | 13    |
| University of Texas-Dallas-9356  | 0 | 0         | 5  | 327,794 | 100  | 100   |
| University Of Texas-El Paso-3925   | 1 | 85,000    | 1  | 85,000  | 0    | 0     |
| University Of Virginia-9274  | 1 | 590,000   | 1  | 94,853  | 0    | -84   |
| University Of Washington-9276  | 3 | 313,422   | 3  | 344,223 | 0    | 10    |
| University Of Wisconsin-9277   | 3 | 363,239   | 4  | 525,650 | 33   | 45    |
| Uppsala Universitet (Sweden)-1234  | 0 | 0         | 1  | 56,430  | 100  | 100   |

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| <b>Parameters:</b>  |                        | <b>Report Totals:</b> | <b>Count:</b> | <b>Amount:</b> |
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| Dates: (Award Date) | 7/1/2019 To: 6/30/2020 | FY 2019:              | 967           | 216,365,166    |
|                     |                        | Percent Change:       | 1             | 9              |

|                  | FY 2019: Count | Amount | FY 2020: Count | Amount | % Count | % Amount |
|------------------|----------------|--------|----------------|--------|---------|----------|
| <b>HIGHER ED</b> |                |        |                |        |         |          |

|   |   |         |   |         |      |      |
|---|---|---------|---|---------|------|------|
| Vanderbilt University (Tennessee)-7666      | 1 | 175,034 | 0 | 0       | -100 | -100 |
| Virginia Polytechnic Institute-9297         | 1 | 250,011 | 0 | 0       | -100 | -100 |
| Washington University, (St. Louis, MO)-9419 | 3 | 205,043 | 2 | 149,866 | -33  | -27  |
| Wilfred Laurier University-F6B5             | 0 | 0       | 2 | 5,225   | 100  | 100  |
| Yale University-9340                        | 0 | 0       | 1 | 13,042  | 100  | 100  |

|                         |            |                   |            |                   |           |          |
|-------------------------|------------|-------------------|------------|-------------------|-----------|----------|
| <b>Total: HIGHER ED</b> | <b>140</b> | <b>17,385,108</b> | <b>168</b> | <b>18,340,907</b> | <b>20</b> | <b>5</b> |
|-------------------------|------------|-------------------|------------|-------------------|-----------|----------|

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|                     |          |               | Percent Change:       | 1             | 9              |        |         |          |
|                     |          |               | FY 2019: Count        | Amount        | FY 2020: Count | Amount | % Count | % Amount |