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Return of Private Foundation or Section 4947(a)(1) Nonexempt Charitable Trust Treated as a Private Foundation

2010

Department of the Treasury
Internal Revenue Service

Note. The foundation may be able to use a copy of this return to satisfy state reporting requirements.

For calendar year 2010, or tax year beginning

, and ending

G Check all that apply:

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name change

Name of foundation CAPLIN FOUNDATION		A Employer identification number 52-6078981
Number and street (or P.O. box number if mail is not delivered to street address) ONE THOMAS CIRCLE, N.W.		B Telephone number (202) 862-5000
City or town, state, and ZIP code WASHINGTON, DC 20005		C If exemption application is pending, check here <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 2,711,065. (Part I, column (d) must be on cash basis.)	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received			N/A	
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	18,910.	18,910.		STATEMENT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	22,033.			
	b Gross sales price for all assets on line 6a	1,593,083.			
	7 Capital gain net income (from Part IV, line 2)		22,033.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less: Cost of goods sold					
c Gross profit or (loss)					
11 Other income	1.	1.		STATEMENT 2	
12 Total. Add lines 1 through 11.	40,944.	40,944.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees				
	b Accounting fees STMT 3	5,215.	3,215.		0.
	c Other professional fees STMT 4	8,279.	7,812.		0.
	17 Interest				
	18 Taxes				
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings	7,992.	0.		0.
	22 Printing and publications				
	23 Other expenses				
	24 Total operating and administrative expenses. Add lines 13 through 23	21,486.	11,027.		0.
	25 Contributions, gifts, grants paid	537,050.			537,050.
26 Total expenses and disbursements. Add lines 24 and 25	558,536.	11,027.		537,050.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	<517,592.>				
b Net investment income (if negative, enter -0-)		29,917.			
c Adjusted net income (if negative, enter -0-)			N/A		

Part II Balance Sheets		Beginning of year	End of year	
			(a) Book Value	(b) Book Value
Assets	1 Cash - non-interest-bearing	2.	1.	1.
	2 Savings and temporary cash investments	<6,169.>	<4,641.>	<4,641.>
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶	26.		
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock			
	c Investments - corporate bonds			
Liabilities	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 6	1,949,165.	1,425,775.	2,715,705.
	14 Land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers)	1,943,024.	1,421,135.	2,711,065.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>			
	and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>			
	and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	1,809,719.	1,809,719.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	133,305.	<388,584.>	
	30 Total net assets or fund balances	1,943,024.	1,421,135.	
	31 Total liabilities and net assets/fund balances	1,943,024.	1,421,135.	

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	1,943,024.
2 Enter amount from Part I, line 27a	2	<517,592.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	1,425,432.
5 Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 5	5	4,297.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	1,421,135.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a			
b SEE ATTACHED STATEMENTS			
c			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 1,593,083.		1,571,050.	22,033.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			22,033.

2 Capital gain net income or (net capital loss)	<div> <div>If gain, also enter in Part I, line 7</div> <div>If (loss), enter -0- in Part I, line 7</div> </div>	2	22,033.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8		3	N/A

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2009	529,582.	2,734,452.	.193670
2008	823,057.	3,798,118.	.216701
2007	578,095.	4,972,257.	.116264
2006	381,317.	5,214,993.	.073119
2005	87,539.	4,992,189.	.017535

2 Total of line 1, column (d)	2	.617289
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	.123458
4 Enter the net value of noncharitable-use assets for 2010 from Part X, line 5	4	2,536,810.
5 Multiply line 4 by line 3	5	313,189.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	299.
7 Add lines 5 and 6	7	313,488.
8 Enter qualifying distributions from Part XII, line 4	8	537,050.

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see instructions)

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	299.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	299.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	299.
6 Credits/Payments:			
a 2010 estimated tax payments and 2009 overpayment credited to 2010	6a	4,515.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	4,515.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	4,216.	
11 Enter the amount of line 10 to be: Credited to 2011 estimated tax <input checked="" type="checkbox"/> 4,216. Refunded <input type="checkbox"/>	11	0.	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. <input checked="" type="checkbox"/> \$ 0. (2) On foundation managers. <input checked="" type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input checked="" type="checkbox"/> \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input checked="" type="checkbox"/> DC		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2010 or the taxable year beginning in 2010 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>WWW.GUIDESTAR.ORG</u>	13	X	
14	The books are in care of ► <u>MORTIMER M. CAPLIN</u> Telephone no. ► <u>202-862-5000</u> Located at ► <u>ONE THOMAS CIRCLE, NW, WASHINGTON DC</u> ZIP+4 ► <u>20005</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year	15	N/A	
16	At any time during calendar year 2010, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See page 20 of the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No
				X

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 22 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here	N/A	
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2010?		X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2010, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2010? If "Yes," list the years ►	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	N/A	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If "Yes," did it have excess business holdings in 2010 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2010.)	N/A	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2010?		X

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d).

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

6b

X

If "Yes" to 6b, file Form 8870.

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
MORTIMER M. CAPLIN	PRESIDENT			
5610 WISCONSIN AVE., APT 18E				
CHEVY CHASE, MD 20185	0.00	0.	0.	0.
RUTH CAPLIN	V. PRES.			
5610 WISCONSIN AVE. APT 18E				
CHEVY CHASE, MD 20185	0.00	0.	0.	0.
ROSEMARY MCCARTHY	ASSISTANT SECRETARY			
SUITE 1100, ONE THOMAS CIRCLE, N.W.				
WASHINGTON, DC 20005	0.00	0.	0.	0.
MICHAEL CAPLIN	SECRETARY			
8477 PORTLAND PLACE				
MCLEAN, VA 221021730	0.00	0.	0.	0.

2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE."

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				

Total number of other employees paid over \$50,000

0

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	2,562,322.
b	Average of monthly cash balances	1b	0.
c	Fair market value of all other assets	1c	13,120.
d	Total (add lines 1a, b, and c)	1d	2,575,442.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	2,575,442.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	38,632.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	2,536,810.
6	Minimum investment return. Enter 5% of line 5	6	126,841.

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6	1	126,841.
2a	Tax on investment income for 2010 from Part VI, line 5	2a	299.
b	Income tax for 2010. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	299.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	126,542.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	126,542.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	126,542.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	537,050.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	537,050.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	299.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	536,751.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2009	(c) 2009	(d) 2010
1 Distributable amount for 2010 from Part XI, line 7				126,542.
2 Undistributed Income, if any, as of the end of 2010				
a Enter amount for 2009 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2010:				
a From 2005				
b From 2006				
c From 2007	240,234.			
d From 2008	634,167.			
e From 2009	393,003.			
f Total of lines 3a through e	1,267,404.			
4 Qualifying distributions for 2010 from Part XII, line 4: ▶ \$	537,050.			
a Applied to 2009, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2010 distributable amount				126,542.
e Remaining amount distributed out of corpus	410,508.			
5 Excess distributions carryover applied to 2010 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	1,677,912.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2009. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2010. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2011				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2005 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2011. Subtract lines 7 and 8 from line 6a	1,677,912.			
10 Analysis of line 9:				
a Excess from 2006				
b Excess from 2007	240,234.			
c Excess from 2008	634,167.			
d Excess from 2009	393,003.			
e Excess from 2010	410,508.			

CAPLIN FOUNDATION

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	SECURITIES LITIGATION FUND	P	VARIOUS	VARIOUS
b	MARKET VECTORS EFT TR 460 SHS	P	02/25/10	12/22/10
c	SPDR GOLD TRUST 45 SHS	P	02/25/10	12/22/10
d	UNIGENE LABS INC 57,300 SHS	P	02/19/03	12/22/10
e	ARTISAN INTL VAL FUND 3,610 SHS	P	VARIOUS	VARIOUS
f	HUSSMAN STR GWTH FD 11,817 SHS	P	VARIOUS	VARIOUS
g	FAIRHOLME FD 7,340 SHS	P	VARIOUS	VARIOUS
h	SPIDER GOLD ETF	P	03/02/10	12/31/10
i	UNIFIED AUER GRWTH FUND	P	02/25/10	11/01/10
j	UNIFIED IRON STRATEGIC FUND	P	VARIOUS	VARIOUS
k	VANGUARD BD INDEX FUND	P	VARIOUS	VARIOUS
l	FUNDVANTAGE LATEEF	P	04/22/08	02/25/10
m	SCHWAB HEDGED EQUITY SL	P	VARIOUS	VARIOUS
n	THE 1794 EVENT DRIVEN OVERSEAS FD LTD UNITS	P	VARIOUS	12/31/10
o	AMA MULTI-STRATEGY OFFSHORE UNITS	P	VARIOUS	VARIOUS

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 193.			193.
b 27,651.		20,000.	7,651.
c 6,085.		4,881.	1,204.
d 39,284.		19,871.	19,413.
e 95,004.		77,259.	17,745.
f 147,771.		180,790.	<33,019.>
g 231,358.		189,870.	41,488.
h 64.		58.	6.
i 50,246.		50,000.	246.
j 108,300.		102,317.	5,983.
k 104,728.		102,271.	2,457.
l 94,801.		101,627.	<6,826.>
m 134,550.		145,282.	<10,732.>
n 223,026.		250,000.	<26,974.>
o 329,937.		326,824.	3,113.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			193.
b			7,651.
c			1,204.
d			19,413.
e			17,745.
f			<33,019.>
g			41,488.
h			6.
i			246.
j			5,983.
k			2,457.
l			<6,826.>
m			<10,732.>
n			<26,974.>
o			3,113.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7
If (loss), enter "-0-" in Part I, line 7 }

2

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):

If gain, also enter in Part I, line 8, column (c).

If (loss), enter "-0-" in Part I, line 8

3

CAPLIN FOUNDATION

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a CAPITAL GAINS DIVIDENDS				
b				
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 85.			85.
b			
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			85.
b			
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }		2	22,033.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }		3	N/A

FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES	STATEMENT	1
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SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
ML ACCOUNT 04044	1,272.	0.	1,272.
SUNTRUST BANK 24554	12,944.	85.	12,859.
SUNTRUST BANK 24555	4,773.	0.	4,773.
SUNTRUST BANK 24556	6.	0.	6.
TOTAL TO FM 990-PF, PART I, LN 4	18,995.	85.	18,910.

FORM 990-PF	OTHER INCOME	STATEMENT	2
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DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
OTHER INCOME - SUNTRUST BANK 24554	1.	1.	
TOTAL TO FORM 990-PF, PART I, LINE 11	1.	1.	

FORM 990-PF	ACCOUNTING FEES	STATEMENT	3
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	5,215.	3,215.		0.
TO FORM 990-PF, PG 1, LN 16B	5,215.	3,215.		0.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
SUNTRUST ADVISORY FEES	7,662.	7,662.		0.
OTHER EXPENSES	467.	0.		0.
ML ACCOUNT FEE	150.	150.		0.
TO FORM 990-PF, PG 1, LN 16C	8,279.	7,812.		0.

FORM 990-PF	OTHER DECREASES IN NET ASSETS OR FUND BALANCES	STATEMENT	5
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DESCRIPTION	AMOUNT
INSURANCE PREMIUM	187.
OTHER EXPENSE FOR BOOK	4,110.
TOTAL TO FORM 990-PF, PART III, LINE 5	4,297.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	6
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
AIG - LIFE INSURANCE	FMV	10,556.	10,556.
ASSET MANAGEMENT ADVISORS	FMV	291,365.	305,737.
AGLF TERM LOAN	COST	2,564.	2,564.
ML ACCOUNT #4044	FMV	632,555.	639,966.
ML ACCOUNT #4046	FMV	488,735.	1,756,882.
TOTAL TO FORM 990-PF, PART II, LINE 13		1,425,775.	2,715,705.

FORM 990-PF	PART XV - LINE 1A LIST OF FOUNDATION MANAGERS	STATEMENT	7
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NAME OF MANAGER

MORTIMER M. CAPLIN
RUTH CAPLIN

STATEMENT: Part XV - 1

LINE 3A - GRANTS & CONTRIBUTIONS PAID

<u>RECIPIENT NAME/ADDRESS</u>	<u>RELATIONSHIP</u>	<u>STATUS</u>	<u>PURPOSE</u>	<u>AMOUNT</u>
UNITED STATES NAVY MEMORIAL 701 PENNSYLVANIA AVE, NW WASHINGTON, DC 20004	N/A	PUBLIC CHARITY	GENERAL SUPPORT	50
EARTH UNIVERSITY 5 PIEDMONT CENTER, #215 3525 PIEDMONT ROAD, NE ATLANTA, GA 30305	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
NATIONAL RESOURCES DEFENSE COUNCIL 40 W 20TH STREET NEW YORK, NY 10019	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
PLANNED PARENTHOOD OF METRO DC 4200 WISCONSIN AVE, NW STE 106-289 WASHINGTON, DC 20016	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
SOUTHERN POVERTY LAW CENTER 400 WASHINGTON AVENUE MONTGOMERY, AL 36177	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
BOYS AND GIRLS CLUBS OF AMERICA GREATER WASHINGTON CHAPTER 4103 BENNING ROAD, NE WASHINGTON, DC 20019	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
MEDIA MATTERS FOR AMERICA 1625 MASS AVE, NW, STE 300 WASHINGTON, DC 20036	N/A	PUBLIC CHARITY	GENERAL SUPPORT	250
SOME 71 O STREET, NW WASHINGTON, DC 20077	N/A	PUBLIC CHARITY	GENERAL SUPPORT	250
CENTRAL ASIA INST/PENNIES FOR PEACE P O BOX 7209 BOZEMAN, MONTANA 59771	N/A	PUBLIC CHARITY	GENERAL SUPPORT	250
NEW YORK CENTER FOR CHILDREN 333 EAST 70TH STREET NEW YORK, NY	N/A	PUBLIC CHARITY	GENERAL SUPPORT	750
WAMU - FM AMERICAN UNIVERSITY	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000

WASHINGTON, DC 20016

WASHINGTON DC JCC 1529 16TH STREET, NW WASHINGTON, DC 20036	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,500
UVA LAW SCHOOL FOUNDATION 580 MASSIE ROAD CHARLOTTESVILLE, VA 22903	N/A	PUBLIC CHARITY	MORTIMER CAPLIN PUBLIC SERVICE FELLOWSHIP	10,000
VIRGINIA ATHLETIC ASSOCIATION P.O. BOX 400833 CHARLOTTESVILLE, VA 22904	N/A	PUBLIC CHARITY	GENERAL SUPPORT	100
WASHINGTON LAWYERS COMMITTEE 11 DUPONT CIRCLE, NW, STE 400 WASHINGTON, DC 20036	N/A	PUBLIC CHARITY	GENERAL SUPPORT	250
JOHN F KENNEDY LIBRARY FOUNDATION PO BOX 8734 BOSTON, MA 02114	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
RECTOR & VISITORS UNIVERSITY OF VIRGINIA CHARLOTTESVILLE, VA 22906	N/A	PUBLIC CHARITY	RUTH CAPLIN THEATRE	100,000
THOMAS JEFFERSON FOUNDATION, INC. PO BOX 217 CHARLOTTESVILLE, VA 22902	N/A	PUBLIC CHARITY	MMC ENDOWMENT FOR THE MEDAL IN LAW	50,000
GEORGE WASHINGTON UNIV - MARY ELLEN SCHOLARSHIP FUND 2129 EYE STREET, NW WASHINGTON DC	N/A	PUBLIC CHARITY	GENERAL SUPPORT	5,000 00
UNIVERSITY OF VIRGINIA CHARLOTTESVILLE, VA 22906	N/A	PUBLIC CHARITY	GENERAL SUPPORT	5,000
WETA P.O. BOX 2600 WASHINGTON, DC 20013	N/A	PUBLIC CHARITY	GENERAL SUPPORT	150
RON BROWN SCHOLAR FUND 1160 PEPSI PLACE, STE 206 CHARLOTTESVILLE, VA 22901	N/A	PUBLIC CHARITY	GENERAL SUPPORT	550
EESI 122 C STREET, NW, SUITE 700 WASHINGTON, DC 20001	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
JEFFERSON AREA BOARD FOR AGING 674 HILLSDALE DR, STE 9 CHARLOTTESVILLE, VA 22901	N/A	PUBLIC CHARITY	GENERAL SUPPORT	100

CAPITAL AREA FOOD BANK 645 TAYLOR STREET WASHINGTON, DC 20017	N/A	PUBLIC CHARITY	GENERAL SUPPORT	200
HOUSE OF MERCY 2000 ROSEMOUNT AVE, NW WASHINGTON, DC 20010	N/A	PUBLIC CHARITY	GENERAL SUPPORT	50
NEW YORK CENTER FOR CHILDREN 333 EAST 70TH STREET NEW YORK, NY	N/A	PUBLIC CHARITY	GENERAL SUPPORT	10,000
DC BAR PRO BONO PROGRAM 1250 H STREET, NW, SIXTH FLOOR WASHINGTON, DC 20005-5937	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
THE MILLER CENTER FOUNDATION PO BOX 400406 CHARLOTTESVILLE, VA 22904	N/A	PUBLIC CHARITY	MMC CONFERENCE ON THE US ECONOMY	200,000
U.S. NAVY VETERANS ASSOCIATION 1290 BAY DALE DRIVE ARNOLD, MD 21012	N/A	PUBLIC CHARITY	GENERAL SUPPORT	15
NAACP LEGAL DEFENSE AND EDUCATION FUN 99 HUDSON STREET, 16TH FLOOR NEW YORK, NY 10013	N/A	PUBLIC CHARITY	GENERAL SUPPORT	250
AMERICAN FEDERATION OF POLICY & CONCERNED CITIZENS	N/A	PUBLIC CHARITY	GENERAL SUPPORT	20
TANDEM FRIENDS SCHOOL DRAMA DEPARTMENT 279 TANDEM LANE CHARLOTTESVILLE, VA 22902	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
FREE UNION COUNTRY SCHOOL 4220 FREE UNION ROAD P.O. BOX 250 FREE UNION, VA 22940	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
CHARLOTTESVILLE FENCING ALLIANCE 1731 ALLIED DRIVE CHARLOTTESVILLE, VA 22903-5333	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
MIDDLE OAK BAPTIST CHURCH 344 JACKSON STREET WARRENTON, VA 22186	N/A	PUBLIC CHARITY	GENERAL SUPPORT	300
UNION RIDGE BAPTIST CHURCH 2980 HYDRAULIC ROAD CHARLOTTESVILLE, VA 22901	N/A	PUBLIC CHARITY	GENERAL SUPPORT	300

PLEASANT GROVE BAPTIST CHURCH 2908 HYDRAULIC ROAD CHARLOTTESVILLE, VA 22901	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
HOLY TEMPLE BAPTIST CHURCH	N/A	PUBLIC CHARITY	GENERAL SUPPORT	300
VIRGINIA DISCOVERY MUSEUM P.O. BOX 1128 CHARLOTTESVILLE, VA 22902	N/A	PUBLIC CHARITY	GENERAL SUPPORT	300
ABA FUND FOR JUSTICE AND EDUCATION AMERICAN BAR ASSOCIATION 750 NORTH LAKE SHORE DRIVE CHICAGO, IL 60611	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
CHARLOTTESVILLE LEGAL AID 1000 PRESTON AVE, STE A CHARLOTTESVILLE, VA 22903	N/A	PUBLIC CHARITY	GENERAL SUPPORT	300
LEGAL AID JUSTICE CENTER 1000 PRESTON AVE, SUITE A CHARLOTTESVILLE, VA 22903	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
UNIVERSITY OF VIRGINIA CHARLOTTESVILLE, VA 22906	N/A	PUBLIC CHARITY	GENERAL SUPPORT	5,000
THE GROUP REP AT LONNY CHAPMAN THEATF 10900 BURBANK BLVD NORTH HOLLYWOOD, CA 91601	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
THE BREAST CANCER CHARITIES OF AMERICA 2203 TIMBERLOCH PLACE, STE 100 THE WOODLANDS, TX 77380	N/A	PUBLIC CHARITY	GENERAL SUPPORT	20
NATIONAL ASSOCIATION OF POLICE ATHLETIC ACTIVITIES LEAGUES INC 658 W INDIANTOWN ROAD, STE 201 JUPITER, FL 33458	N/A	PUBLIC CHARITY	GENERAL SUPPORT	20
ROUND HOUSE THEATRE P.O. BOX 30688 BETHESDA, MD 20824-0688	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
JOHN F KENNEDY LIBRARY FOUNDATION PO BOX 8734 BOSTON, MA 02114	N/A	PUBLIC CHARITY	GENERAL SUPPORT	250
WETA P.O. BOX 2600 WASHINGTON, DC 20013	N/A	PUBLIC CHARITY	GENERAL SUPPORT	150

RFB&D OF METROPOLITAN WASHINGTON 5225 WASHINGTON AVE, NW, STE 312 WASHINGTON, DC 20015	N/A	PUBLIC CHARITY	GENERAL SUPPORT	250
BAZELON CENTER FOR MENTAL HEALTH LAW 1730 M STREET, NW, SUITE 801 WASHINGTON, DC 20036	N/A	PUBLIC CHARITY	GENERAL SUPPORT	200
HILLEL HOUSE OF UVA CHARLOTTESVILLE, VA 22906	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
THE SEED FOUNDATION 1712 EYE STREET, NW, SUITE 300 WASHINGTON, DC 20006	N/A	PUBLIC CHARITY	GENERAL SUPPORT	5,000
DC SCHOOL OF LAW FOUNDATION 4200 CONNECTICUT AVE, NW WASHINGTON, DC 20008	N/A	PUBLIC CHARITY	GENERAL SUPPORT	250
DANIEL SCHORR SCHOLARSHIP FUND CITY UNIVERSITY OF NEW YORK 219 WEST 40TH STREET NEW YORK, NY 10018	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
KENNEDY CENTER WASHINGTON, DC	N/A	PUBLIC CHARITY	GENERAL SUPPORT	3,000
HEADS UP 645 PENNSYLVANIA AVE, SE, SUITE 300 WASHINGTON, DC 20003	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
NEW YORK UNIVERSITY SCHOOL OF LAW 726 BROADWAY, SECOND FLOOR NEW YORK, NY 10003-9580	N/A	PUBLIC CHARITY	GENERAL SUPPORT	250
UVA LAW SCHOOL FOUNDATION 580 MASSIE ROAD CHARLOTTESVILLE, VA 22903	N/A	PUBLIC CHARITY	GENERAL SUPPORT	100,000
THE JEWISH FEDERATION OF GREATER WASH 6101 MONTROSE ROAD ROCKVILLE, MD 20852	N/A	PUBLIC CHARITY	GENERAL SUPPORT	10,000
WOMEN IN THEATRE 11684 VENTURA BLVD, STE 444 STUDIO CITY, CA	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
DANCE KIDS OF MONTEREY COUNTY 321 ALVARADO ST, STE 8 MONTEREY, CA 93940	N/A	PUBLIC CHARITY	GENERAL SUPPORT	750
SPCA LA 5026 W JEFFERSON BLVD	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500

LOS ANGELES, CA 90016

24TH STREET THEATRE 1117 WEST 24TH ST LOS ANGELES, CA 90007	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
COLONY THEATRE 555 N 3RD STREET BURBANK, CA 91502	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
VICTORY THEATRE CENTER 3326 W VICTORY BLVD BURBANK, CA 91505	N/A	PUBLIC CHARITY	GENERAL SUPPORT	750
ACADEMY FOR NEW MUSICAL THEATRE 5628 VINELAND NORTH HOLLYWOOD, CA 91601	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
SIDWELL FRIENDS SCHOOL 3825 WISCONSIN AVE, NW WASHINGTON, DC	N/A	PUBLIC CHARITY	GENERAL SUPPORT	2,500
UVA - VIRGINIA FILM FESTIVAL CHARLOTTESVILLE, VA 22906	N/A	PUBLIC CHARITY	GENERAL SUPPORT	2,500
UNITED STATES OLYMPIC COMMITTEE P.O. BOX 7010 ALBERT LEA, MN 56007	N/A	PUBLIC CHARITY	GENERAL SUPPORT	75
BREAD FOR THE CITY 1525 SEVENTH ST, NW WASHINGTON, DC 20001	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
PARENTS PERSPECTIVE P.O. Box 42283 WASHINGTON, DC 20015	N/A	PUBLIC CHARITY	GENERAL SUPPORT	250
UNIVERSITY OF VIRGINIA CHARLOTTESVILLE, VA 22906	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
ST. ALBANS SCHOOL MOUNT ST ALBAN WASHINGTON, DC	N/A	PUBLIC CHARITY	GENERAL SUPPORT	100

537,050

CAPLIN FOUNDATION
EIN: 52-6078981

A STATEMENT ATTACHED TO AND MADE A PART OF
2010 FORM 990-PF
PART XV
Grant Application Procedures

- a) Grant applications should be submitted to:

Mr. Mortimer M. Caplin
One Thomas Circle, N.W.
Washington, DC 20005
202.862.5000

- b) Applications should briefly describe the activity to be supported by the requested grant, identify and describe the qualifications of the individual(s) who will be primarily responsible for the proposed activity, and state the status of the prospective grants. Applications should also include a proposed budget showing how the requested funds will be used.
- c) The Caplin Foundation makes grants on a continuing basis. Accordingly, there are no application deadlines.
- d) While the Caplin Foundation is a small Foundation and makes a relatively few grants each year, it does not restrict its charitable activity to any particular field of interest.