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

OMB No 1545-0052

2011

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

For calendar year 2011 or tax year beginning , 2011, and ending , 20

Name of foundation THE HARKNESS FOUNDATION FOR DANCE, INC.		A Employer identification number 13-1926551						
Number and street (or P O box number if mail is not delivered to street address)	Room/suite	B Telephone number (see instructions) (212) 485-5500						
145 EAST 48TH STREET								
City or town, state, and ZIP code NEW YORK, NY 10017								
G Check all that apply <table border="0" style="width:100%"> <tr> <td><input type="checkbox"/> Initial return</td> <td><input type="checkbox"/> Initial return of a former public charity</td> </tr> <tr> <td><input type="checkbox"/> Final return</td> <td><input type="checkbox"/> Amended return</td> </tr> <tr> <td><input type="checkbox"/> Address change</td> <td><input type="checkbox"/> Name change</td> </tr> </table>			<input type="checkbox"/> Initial return	<input type="checkbox"/> Initial return of a former public charity	<input type="checkbox"/> Final return	<input type="checkbox"/> Amended return	<input type="checkbox"/> Address change	<input type="checkbox"/> Name change
<input type="checkbox"/> Initial return	<input type="checkbox"/> Initial return of a former public charity							
<input type="checkbox"/> Final return	<input type="checkbox"/> Amended return							
<input type="checkbox"/> Address change	<input type="checkbox"/> Name change							
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								
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 11,873,928.		J Accounting method <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis)						

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) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1	Contributions, gifts, grants, etc., received (attach schedule)				
2	Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
3	Interest on savings and temporary cash investments	357,578.	357,578.		
4	Dividends and interest from securities				
5a	Gross rents				
5b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	435,422.			
6b	Gross sales price for all assets on line 6a	8,227,895.			
7	Capital gain net income (from Part IV, line 2)		435,422.		
8	Net short-term capital gain				
9	Income modifications				
10a	Gross sales less returns and allowances				
10b	Less Cost of goods sold				
11	Gross profit or (loss) (attach schedule)	2,256.	2,256.		
12	Other income (attach schedule)	795,256.	795,256.		ATCH 1
13	Total. Add lines 1 through 11	189,964.	47,491.		142,473.
14	Compensation of officers, directors, trustees, etc.	56,000.	22,400.		33,600.
15	Other employee salaries and wages	89,904.	29,968.		59,936.
16a	Pension plans, employee benefits				
16b	Legal fees (attach schedule)	15,865.	7,933.		7,932.
16c	Accounting fees (attach schedule) ATCH 2	101,666.	101,666.		
17	Other professional fees (attach schedule) *				
18	Interest	13,042.	1,732.		
19	Taxes (attach schedule) (see instructions) **	5,842.	2,921.		
20	Depreciation (attach schedule) and depletion	23,144.	11,572.		11,572.
21	Occupancy	2,965.			2,965.
22	Travel, conferences, and meetings				
23	Printing and publications	8,140.	4,070.		4,070.
24	Other expenses (attach schedule) ATCH 5				
25	Total operating and administrative expenses. Add lines 13 through 23	506,532.	229,753.		262,548.
26	Contributions, gifts, grants paid	758,350.			758,350.
27	Total expenses and disbursements. Add lines 24 and 25	1,264,882.	229,753.	0	1,020,898.
28	Subtract line 26 from line 27				
29a	Excess of revenue over expenses and disbursements	-469,626.			
29b	Net investment income (if negative, enter -0-)		565,503.		
29c	Adjusted net income (if negative, enter -0-)				

For Paperwork Reduction Act Notice, see instructions.

*ATCH 3 JSA ** ATCH 4

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Operating and Administrative Expenses

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
Assets	1	Cash - non-interest-bearing		10,397.	17,972.	17,972.
	2	Savings and temporary cash investments		397,167.	371,223.	371,223.
	3	Accounts receivable ▶				
		Less allowance for doubtful accounts ▶				
	4	Pledges receivable ▶				
		Less allowance for doubtful accounts ▶				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7	Other notes and loans receivable (attach schedule) ▶				
		Less allowance for doubtful accounts ▶				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges ATCH 6.	3,931.	3,990.	3,990.	
	10 a	Investments - U S and state government obligations (attach schedule), **	3,374,155.	2,327,443.	2,327,443.	
	b	Investments - corporate stock (attach schedule) ATCH 8.	8,868,553.	8,891,435.	8,891,435.	
	c	Investments - corporate bonds (attach schedule)				
	Liabilities	11	Investments - land, buildings, and equipment basis Less accumulated depreciation (attach schedule) ▶			
12		Investments - mortgage loans				
13		Investments - other (attach schedule)				
14		Land, buildings, and equipment basis Less accumulated depreciation (attach schedule) ▶	406,975. 176,028.	235,618. 230,947.	230,947.	
15		Other assets (describe ▶ ATCH 10)	43,024.	30,918.	30,918.	
16		Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)	12,932,845.	11,873,928.	11,873,928.	
17		Accounts payable and accrued expenses	9,761.	5,135.		
18		Grants payable				
19		Deferred revenue				
20		Loans from officers, directors, trustees, and other disqualified persons				
Net Assets or Fund Balances	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe ▶)				
	23	Total liabilities (add lines 17 through 22)	9,761.	5,135.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.					
	24	Unrestricted	12,923,084.	11,868,793.		
	25	Temporarily restricted				
	26	Permanently restricted				
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. <input type="checkbox"/>					
	27	Capital stock, trust principal, or current funds				
	28	Paid-in or capital surplus, or land, bldg, and equipment fund				
	29	Retained earnings, accumulated income, endowment, or other funds				
	30	Total net assets or fund balances (see instructions)	12,923,084.	11,868,793.		
	31	Total liabilities and net assets/fund balances (see instructions)	12,932,845.	11,873,928.		

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	12,923,084.
2	Enter amount from Part I, line 27a	2	-469,626.
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	12,453,458.
5	Decreases not included in line 2 (itemize) ▶ ATTACHMENT 11	5	584,665.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	11,868,793.

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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 SEE PART IV SCHEDULE					
b					
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					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))		
(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					
b					
c					
d					
e					
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	435,422.	
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) (see instructions) If (loss), enter -0- in Part I, line 8			3	0	

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 the 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))
2010	1,024,109.	12,602,108.	0.081265
2009	1,005,414.	12,233,210.	0.082187
2008	1,063,561.	13,981,714.	0.076068
2007	1,552,312.	16,507,892.	0.094035
2006	1,558,418.	16,872,380.	0.092365
2 Total of line 1, column (d)			2 0.425920
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 0.085184
4 Enter the net value of noncharitable-use assets for 2011 from Part X, line 5			4 12,179,633.
5 Multiply line 4 by line 3			5 1,037,510.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 5,655.
7 Add lines 5 and 6			7 1,043,165.
8 Enter qualifying distributions from Part XII, line 4 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			8 1,020,898.

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

1 a 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 type="checkbox"/> and enter 1% of Part I, line 27b		1	11,310.
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	
3 Add lines 1 and 2		3	11,310.
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	11,310.
6 Credits/Payments			
a 2011 estimated tax payments and 2010 overpayment credited to 2011	6a	11,136.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c	6,000.	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments Add lines 6a through 6d	7	17,136.	
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	5,826.	
11 Enter the amount of line 10 to be Credited to 2012 estimated tax <input type="checkbox"/> 5,826. Refunded <input type="checkbox"/> <input type="checkbox"/>	11		

Part VII-A Statements Regarding Activities

	Yes	No
1 a 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
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the 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
c Did the foundation file Form 1120-POL for this year?		
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____		
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
4 a 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	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> NY, _____		
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 2011 or the taxable year beginning in 2011 (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

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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 make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
Website address <input type="checkbox"/> N/A				
14	The books are in care of <input type="checkbox"/> THEODORE S. BARTWINK Telephone no <input type="checkbox"/> 212-755-5540			
Located at <input type="checkbox"/> 145 EAST 48TH STREET SUITE 26C NEW YORK, NY ZIP + 4 <input type="checkbox"/> 10017				
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year <input type="checkbox"/> 15			
16	At any time during calendar year 2011, 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?	16	Yes	No
See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country <input type="checkbox"/>				

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 instructions)? <input type="checkbox"/> Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/>	1b	
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 2011? <input type="checkbox"/>	1c	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 2011, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years <input type="checkbox"/>		
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) <input type="checkbox"/>	2b	X
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here <input type="checkbox"/>		
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 2011 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 2011) <input type="checkbox"/>	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? <input type="checkbox"/>	4a	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 2011? <input type="checkbox"/>	4b	X

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5 a** 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)? (see instructions) ☐ 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)? ☐ Yes ☒ NoOrganizations 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? ☐ Yes ☐ No

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

6 a 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? ☐ Yes ☐ No

If "Yes" to 6b, file Form 8870

7 a 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? ☐ Yes ☐ No**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 (see instructions).

(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
ATTACHMENT 12		189,964.	0	0

2 Compensation of five highest-paid employees (other than those included on line 1 - see instructions). 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 ☐

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Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE."**

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services ▶		

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

Expenses

1 NOT APPLICABLE

2

3

4

Part IX-B Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2

Amount

1 NOT APPLICABLE

2

All other program-related investments See instructions

3 NONE

Total. Add lines 1 through 3 ▶

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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	11,730,793.
b	Average of monthly cash balances	1b	398,380.
c	Fair market value of all other assets (see instructions)	1c	235,937.
d	Total (add lines 1a, b, and c)	1d	12,365,110.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	12,365,110.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	185,477.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	12,179,633.
6	Minimum investment return. Enter 5% of line 5	6	608,982.

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	608,982.
2a	Tax on investment income for 2011 from Part VI, line 5	2a	11,310.
b	Income tax for 2011 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	11,310.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	597,672.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	597,672.
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	597,672.

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	1,020,898.
b	Program-related investments - total from Part IX-B	1b	
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	1,020,898.
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 (see instructions)	5	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,020,898.

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.

Form 990-PF (2011)

Page 9

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				597,672.
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only				
b Total for prior years 20 09, 20 08, 20 07				
3 Excess distributions carryover, if any, to 2011				
a From 2006 740,139.				
b From 2007 751,089.				
c From 2008 373,567.				
d From 2009 400,004.				
e From 2010 405,140.				
f Total of lines 3a through e	2,669,939.			
4 Qualifying distributions for 2011 from Part XII, line 4 ▶ \$ 1,020,898.				
a Applied to 2010, but not more than line 2a				
b Applied to undistributed income of prior years (Election required - see instructions)				
c Treated as distributions out of corpus (Election required - see instructions)				
d Applied to 2011 distributable amount				597,672.
e Remaining amount distributed out of corpus	423,226.			
5 Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	3,093,165.			
b Prior years' undistributed income Subtract line 4b from line 2b				
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				
d Subtract line 6c from line 6b Taxable amount - see instructions				
e Undistributed income for 2010 Subtract line 4a from line 2a Taxable amount - see instructions				
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2012				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8 Excess distributions carryover from 2006 not applied on line 5 or line 7 (see instructions)	740,139.			
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	2,353,026.			
10 Analysis of line 9				
a Excess from 2007 751,089.				
b Excess from 2008 373,567.				
c Excess from 2009 400,004.				
d Excess from 2010 405,140.				
e Excess from 2011 423,226.				

Form 990-PF (2011)

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9)

NOT APPLICABLE

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2011, enter the date of the ruling

b Check box to indicate whether the foundation is a private operating foundation described in section

☐ 4942(j)(3) or ☐ 4942(j)(5)

2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

	Tax year	Prior 3 years			(e) Total
	(a) 2011	(b) 2010	(c) 2009	(d) 2008	
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test - enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year - see instructions.)**1 Information Regarding Foundation Managers:**

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2))

NONE

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest

NONE

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

Check here ☐ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d

a The name, address, and telephone number of the person to whom applications should be addressed

ATTACHMENT 13

b The form in which applications should be submitted and information and materials they should include

IN WRITING STATING AMOUNT REQUESTED & INTENDED USE

c Any submission deadlines

NONE

d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors

TO ARTS ORGANIZATIONS QUALIFIED UNDER IRC SEC. 501(C) (3)

Part XV Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

<div>Recipient</div> <div>Name and address (home or business)</div>	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year ATTACHMENT 14				
Total			▶ 3a	758,350.
b Approved for future payment				
Total			▶ 3b	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated		Unrelated business income	Excluded by section 512, 513, or 514	(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount
1 Program service revenue				
a _____				
b _____				
c _____				
d _____				
e _____				
f _____				
g Fees and contracts from government agencies				
2 Membership dues and assessments				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities			14	357,578.
5 Net rental income or (loss) from real estate				
a Debt-financed property				
b Not debt-financed property				
6 Net rental income or (loss) from personal property .				
7 Other investment income				
8 Gain or (loss) from sales of assets other than inventory			18	435,422.
9 Net income or (loss) from special events				
10 Gross profit or (loss) from sales of inventory . .				
11 Other revenue a _____				
b ROYALTY INCOME			15	2,256.
c _____				
d _____				
e _____				
12 Subtotal. Add columns (b), (d), and (e)				795,256.
13 Total. Add line 12, columns (b), (d), and (e)				795,256.

(See worksheet in line 13 instructions to verify calculations)

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

[illegible]

THE HARKNESS FOUNDATION FOR DANCE, INC.
2011 FORM 990-PF
SCHEDULE OF CAPITAL GAINS AND LOSSES

<u>UBS ACCOUNT</u>	<u>PROCEEDS</u>	<u>BASIS</u>	<u>GAIN (LOSS)</u>
SHORT-TERM			
BT 60781 JP	31,455	29,330	2,125
BT 60782 JP	1,556,413	1,608,822	(52,409)
BT 60783 JP	301,106	291,718	9,387
BT 60784 JP	356,452	344,508	11,944
BT 60785 JP	-	-	-
BT 60786 JP	378,252	389,800	(11,548)
BT 60787 JP	51,940	52,313	(373)
BT 61864 JP	407,073	421,539	(14,467)
BT 04047 JP	245,716	322,324	(76,608)
TOTAL SHORT-TERM	3,328,405	3,460,353	(131,948)
LONG-TERM			
BT 60781 JP	528,638	482,409	46,229
BT 60782 JP	229,379	153,864	75,516
BT 60783 JP	734,678	638,044	96,633
BT 60784 JP	288,542	229,330	59,212
BT 60785 JP	200,152	100,504	99,649
BT 60786 JP	857,109	823,105	34,004
BT 60787 JP	976,788	863,798	112,990
BT 61864 JP	236,160	184,633	51,527
BT 04047 JP	848,044	856,434	(8,390)
TOTAL LONG-TERM	4,899,490	4,332,120	567,370
TOTAL CAPITAL GAINS	8,227,895	7,792,473	435,422

THE HARKNESS FOUNDATION FOR DANCE, INC.
2011 FORM 990-PF
PART II - BALANCE SHEET - INVESTMENTS

ACCOUNT	LINE 10a - US OBLIGATIONS		LINE 10b - CORPORATE STOCK	
	BEG OF THE YEAR	MARKET VALUE END OF THE YEAR	BEG OF THE YEAR	MARKET VALUE END OF THE YEAR
BT 60781 JP			1,613,397	1,110,591
BT 60782 JP			473,585	1,163,066
BT 60783 JP			909,852	571,076
BT 60784 JP			906,290	809,239
BT 60785 JP			961,274	1,189,080
BT 60786 JP	883,450	402,670	1,401,095	1,206,308
BT 60787 JP	2,391,660	1,870,828		
BT 61864 JP	99,046	53,945	793,975	715,177
BT 04047 JP			1,809,084	1,291,284
BT 617715 JP			-	835,615
	3,374,155	2,327,443	8,868,553	8,891,435

THE HARKNESS FOUNDATION FOR DANCE, INC.

CONTRIBUTIONS

1/1/11 - 12/31/11

A/C #

406	ACTOR'S FUND	4,000
14	AMERICAN BALLET THEATRE	23,000
11	AMERICAN BALLROOM THEATRE (DANCING CLASSROOMS)	2,500
38	AMERICAN DANCE FESTIVAL	2,500
60	ANNABELLA GONZALEZ DANCE THEATRE COMPANY	1,000
226	APPLEBY FOUNDATION (REBECCA KELLY)	1,000
151	ART SWEATS, INC. (DAVID DORFMAN DANCE CO)	2,500
516	ATLANTIC THEATRE COMPANY	2,500
453	BAIS SHAINDEL H.S.	5,000
70	BALLET CHICAGO	1,000
18	BALLET HISPANICO	10,000
48	BALLET TECH	3,500
442	BALLET NY	1,000
264	BATSHEVA DANCE COMPANY	2,500
409	BATTERY DANCE COMPANY	2,000
265	BOSTON BALLET	2,500
200	BRIANSKY SARATOGA BALLET	1,000
421	BRIC ARTS MEDIA BROOKLYN (CELEBRATE BROOKLYN)	3,000
1	BROOKLYN ACADEMY OF MUSIC	75,000
387	BROOKLYN ARTS EXCHANGE	1,500
397	BROOKLYN BALLET (LYNN PARKERSON)	1,000
80	BROOKLYN CENTER FOR PERFORMING ARTS @ BROOKLYN COLLEGE	1,500
391	BRONX DANCE THEATRE	1,000
240	BUGLISI DANCE THEATRE	2,000
138	CAREER TRANSITION FOR DANCERS	12,500
253	CAROLYN DORFMAN DANCE COMPANY	1,500
117	CATSKILL BALLET THEATRE	2,000
511	CHILDREN'S GALLERIES FOR JEWISH CULTURE	3,000
10	CITY CENTER	51,500
214	CITY PARKS FOUNDATION	2,500
34	COMPANY APPELS	1,000
518	COMPLEXIONS CONTEMPORARY DANCE	500
235	CONNECTICUT BALLET	1,500
100	DANCE CONTINUUM (SUSAN MARSHALL)	1,000
46	DANCE NOTATION BUREAU	1,000
288	DANCE NOW/NYC	1,000
102	DANCE THEATRE OF HARLEM	2,500
379	DANCE THEATRE OF LYNCHBURG	1,500

13	DANCE USA	3,500
137	DANCES...PATRELLE	2,000
140	DANCEWAVE, INC.	6,500
215	DANSPACE PROJECT	3,500
230	DISCALCED, INC (MARK MORRIS)	5,000
136	DOVA, INC. (DOUG VARONE & COMPANY)	4,000
23	E. MONTE MOTION (ELISA MONTE)	2,500
4	EARLY STAGES	4,000
402	ETHICAL CULTURE FIELDSTONE SCHOOL (YOUNG DANCEMAKERS)	2,000
510	EVIDENCE INC. (RONALD K. BROWN)	1,500
260	EXPERIMENTAL INTERMEDIA FDTN (SALLY GROSS)	750
313	FELICE LESSER DANCE THEATRE	1,500
84	FIELD, INC. (SUMMATION DANCE COMPANY)	2,000
529	FIELD, INC. (SUMMATION DANCE COMPANY)	1,000
392	FJC, INC. (HEIDI LATSKY)	1,500
525	FORDHAM UNIVERSITY	1,000
209	FRACTURED ATLAS (JANIS BRENNER)	1,000
319	GINA GIBNEY DANCE	1,000
232	HALEAKA INC. (THE KITCHEN)	1,500
213	HENRY STREET SETTLEMENT	3,500
312	HUNDRED GRAND FOUNDATION (BILL YOUNG & DANCERS)	1,500
269	HOSPITAL AUDIENCES	2,500
194	HUNTER COLLEGE	4,000
250	INTERNATIONAL ASSOCIATION FOR DANCE MEDICINE & SCIENCE	5,000
146	ISRAELI DANCE INSTITUTE	2,000
5	JACOB'S PILLOW	12,000
15	JOYCE THEATRE FOUNDATION	45,950
107	JUILLIARD	5,000
175	KAUFMAN CENTER	14,000
528	KEGWIN & COMPANY	1,000
405	KEYSTONE DANCE (MARY SEIDMAN & DANCERS)	2,000
149	LA MAMA ETC	3,000
21	LIMON DANCE FOUNDATION	3,000
95	LINCOLN CENTER	15,500
262	LINCOLN CENTER THEATRE	5,000
460	LOWER MANHATTAN CULTURAL CENTER	2,000
41	LUBOVITCH DANCE FOUNDATION	3,500
399	MANHATTAN THEATRE CLUB	5,000
57	MARTHA GRAHAM CENTER OF CONTEMPORARY DANCE	2,500
26	METROPOLITAN OPERA GUILD	1,250
83	MIAMI CITY BALLET	3,500
110	MIMI GARRARD DANCE COMPANY	1,000
502	MORPHOSES LTD	2,500
279	MOVEMENT RESEARCH INC.	1,500
532	MUSEUM OF ARTS & DESIGN	3,500
27	MULLER WORKS FOUNDATION	1,000

9	92ND STREET Y	70,000
8	NATIONAL DANCE INSTITUTE	4,500
419	NEW 42ND STREET, INC. (VICTORY THEATRE)	3,500
225	NEW DANCE ALLIANCE (PERFORMANCE MIX)	1,500
12	NEW YORK CITY BALLET	22,000
210	NEW YORK FOUNDATION FOR THE ARTS	3,000
164	NEW YORK PUBLIC LIBRARY	8,000
7	NEW YORK SHAKESPEARE FESTIVAL	5,000
139	NEW YORK THEATRE BALLET	2,500
524	NOCHE FLAMENCA INC.	10,000
147	NYU/HOSPITAL FOR JOINT DISEASES	72,500
131	NYU -TISCH SCHOOL OF THE ARTS	3,000
363	OVERFOOT, INC. (JODY OBERFELDER DANCE)	1,000
530	PARK AVENUE ARMORY	3,500
267	PARSONS DANCE FOUNDATION	6,400
254	PASCAL RIOULT DANCE THEATRE	3,000
24	PAUL TAYLOR DANCE CO.	5,000
2	PENTACLE	2,500
494	PLAYWRIGHTS HORIZON	4,000
523	PRIMARY STAGES	3,500
157	QUEENS COLLEGE	2,500
326	RINGSIDE, INC. (ELIZABETH STREB)	1,000
467	ROUNDAABOUT THEATRE CO.	5,000
202	SAEKO ICHINOKE & COMPANY	1,000
62	SCHOOL OF AMERICAN BALLET	26,000
496	SECOND STAGE THEATRE	4,500
446	SKIDMORE COLLEGE	1,500
192	SPANISH DANCE ARTS CO. (CARLOTA SANTANA)	1,500
42	SPOLETO FESTIVAL	10,000
229	ST. LUKES CHAMBER ENSEMBLE	2,000
296	STEPHEN PETRONIO COMPANY	2,500
176	TADA!	1,000
174	THEATRE DEVELOPMENT FUND	5,000
220	THEATREWORKS USA	3,000
130	THIN MAN DANCE (JPHN JASPERSE)	1,500
163	TOWN HALL	2,500
114	TRISHA BROWN COMPANY	2,500
370	VINEYARD THEATRE	2,000
462	VOLUNTEER CONSULTING GROUP	1,000
16	VOLUNTEER LAWYERS FOR THE ARTS	3,000
531	WAVE HILL, INC.	1,500
119	WORKS & PROCESS @ THE GUGGENHEIM	5,000
208	YOUNG AUDIENCES, INC.	3,000
340	ZGD, INC. (ZVI GOTHENIER DANCE)	2,000

TOTAL 758,350

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
3,328,405.		UBS SHORT TERM - SEE ATTACHED 3,460,353.					VARIOUS -131,948.	VARIOUS
4,899,490.		UBS LONG TERM - SEE ATTACHED 4,332,120.					VARIOUS 567,370.	VARIOUS
TOTAL GAIN(LOSS)					<u>435,422.</u>	

ATTACHMENT 1

FORM 990PF, PART I - OTHER INCOME

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
	<u>2,256.</u>	<u>2,256.</u>
ROYALTY INCOME		
TOTALS	<u><u>2,256.</u></u>	<u><u>2,256.</u></u>

ATTACHMENT 2

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
ACCOUNTING FEES	15,865.	7,933.		7,932.
TOTALS	<u>15,865.</u>	<u>7,933.</u>		<u>7,932.</u>

ATTACHMENT 3

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
INVESTMENT ADVISORY FEES	101,666.	101,666.
TOTALS	<u>101,666.</u>	<u>101,666.</u>

ATTACHMENT 4

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
FOREIGN TAXES PAID	1,732.	1,732.
EXCISE TAX	11,310.	
TOTALS	<u>13,042.</u>	<u>1,732.</u>

ATTACHMENT 5

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
INSURANCE	7,390.	3,695.	3,695.
FILING FEES	750.	375.	375.
TOTALS	8,140.	4,070.	4,070.

ATTACHMENT 6

FORM 990PF, PART II - PREPAID EXPENSES AND DEFERRED CHARGES

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
INSURANCE	3,931.	3,990.	3,990.
TOTALS	<u>3,931.</u>	<u>3,990.</u>	<u>3,990.</u>

FORM 990PF, PART II - U.S. AND STATE OBLIGATIONS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ATTACHMENT 7</u>	
		<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
UBS	3,374,155.	2,327,443.	2,327,443.
US OBLIGATIONS TOTAL	<u>3,374,155.</u>	<u>2,327,443.</u>	<u>2,327,443.</u>

ATTACHMENT 8FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
UBS	8,868,553.	8,891,435.	8,891,435.
TOTALS	<u>8,868,553.</u>	<u>8,891,435.</u>	<u>8,891,435.</u>

LAND, BUILDINGS, EQUIPMENT NOT HELD FOR INVESTMENTATTACHMENT 9

ASSET DESCRIPTION	METHOD/ CLASS	FIXED ASSET DETAIL			ACCUMULATED DEPRECIATION DETAIL		
		BEGINNING BALANCE	ADDITIONS	DISPOSALS	ENDING BALANCE	ADDITIONS	ENDING BALANCE
CONDOMINIUM	SL	216,873.			216,873.	5,422	132,836.
OFFICE IMPROVEMENT	SL	3,150			3,150	79	1,931
OFFICE EQUIPMENT	SL	3,414			3,414.		3,414
OFFICE EQUIPMENT	SL	2,694			2,694		2,694
OFFICE EQUIPMENT	SL	460.			460		460
LAND	L	144,583.			144,583		
FURNITURE & EQUIP	SL	31,783			31,783		31,783
CARPETING	SL	2,998			2,998		2,998
LAP TOP COMPUTER	SL	1,144			1,144.		1,144
FURNITURE & EQUIP	SL	995			995	124	995.
PRINTER-COPIER-FA	SL	400			400	100	349
OFFICE FURNITURE	SL		1,171.		1,171	117	117
TOTALS		<u>408,494.</u>			<u>409,565.</u>		<u>178,721.</u>

ATTACHMENT 10FORM 990PF, PART II - OTHER ASSETS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
FILMS	1,000.	1,000.	1,000.
INTEREST RECEIVABLE	42,024.	29,918.	29,918.
TOTALS	<u>43,024.</u>	<u>30,918.</u>	<u>30,918.</u>

ATTACHMENT 11FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

<u>DESCRIPTION</u>	<u>AMOUNT</u>
UNREALIZED LOSS ON MARKETABLE SECURITIE	584,665.
TOTAL	<u>584,665.</u>

THE HARKNESS FOUNDATION FOR DANCE, INC.

13-1926551

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 12

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
THEODORE S. BARTWINK C/O HARKNESS BALLET FOUNDATION 145 EAST 48TH STREET SUITE 26C NEW YORK, NY 10017	TREASURER 38.00	181,964.	0	0
WILLIAM A. PERLMUTH C/O HARKNESS BALLET FOUNDATION 145 EAST 48TH STREET SUITE 26C NEW YORK, NY 10017	PRESIDENT 1.00	4,000.	0	0
ETTA BRANDMAN C/O HARKNESS BALLET FOUNDATION 145 EAST 48TH STREET SUITE 26C NEW YORK, NY 10017	VP, ASST. 1.00	4,000.	0	0
GRAND TOTALS		189,964.	0	0

ATTACHMENT 13

FORM 990PF, PART XV - NAME, ADDRESS AND PHONE FOR APPLICATIONS

THEODORE S BARTWINK
145 EAST 48TH STREET 26C
NEW YORK, NY 10017

THE HARKNESS FOUNDATION FOR DANCE, INC

13-1926551

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 14

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND
FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

SEE ATTACHED SCHEDULE

EXEMPT

CHARITABLE

758,350

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

TOTAL CONTRIBUTIONS PAID

758,350

**SCHEDULE D
(Form 1041)**Department of the Treasury
Internal Revenue Service**Capital Gains and Losses**▶ Attach to Form 1041, Form 5227, or Form 990-T. See the Instructions for
Schedule D (Form 1041) (also for Form 5227 or Form 990-T, if applicable).

OMB No 1545-0092

2011

Name of estate or trust

THE HARKNESS FOUNDATION FOR DANCE, INC.

Employer identification number

13-1926551

Note: Form 5227 filers need to complete *only* Parts I and II**Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less**

(a) Description of property (Example 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
1a					

b Enter the short-term gain or (loss), if any, from Schedule D-1, line 1b **1b** -131,948.**2** Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824 **2****3** Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts **3****4** Short-term capital loss carryover Enter the amount, if any, from line 9 of the 2010 Capital Loss Carryover Worksheet **4** ()**5** Net short-term gain or (loss). Combine lines 1a through 4 in column (f). Enter here and on line 13, column (3) on the back **5** -131,948.**Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year**

(a) Description of property (Example 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
6a					

b Enter the long-term gain or (loss), if any, from Schedule D-1, line 6b **6b** 567,370.**7** Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824 **7****8** Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts **8****9** Capital gain distributions **9****10** Gain from Form 4797, Part I **10****11** Long-term capital loss carryover Enter the amount, if any, from line 14 of the 2010 Capital Loss Carryover Worksheet **11** ()**12** Net long-term gain or (loss). Combine lines 6a through 11 in column (f). Enter here and on line 14a, column (3) on the back **12** 567,370.

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D (Form 1041) 2011

Part III Summary of Parts I and II Caution: Read the instructions before completing this part.		(1) Beneficiaries' (see instr)	(2) Estate's or trust's	(3) Total
13	Net short-term gain or (loss)	13		-131,948.
14	Net long-term gain or (loss):			
a	Total for year	14a		567,370.
b	Unrecaptured section 1250 gain (see line 18 of the wrksht)	14b		
c	28% rate gain	14c		
15	Total net gain or (loss). Combine lines 13 and 14a ▶	15		435,422.

Note: If line 15, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a). If lines 14a and 15, column (2), are net gains, go to Part V, and do not complete Part IV. If line 15, column (3), is a net loss, complete Part IV and the **Capital Loss Carryover Worksheet**, as necessary.

Part IV Capital Loss Limitation

16	Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the smaller of a The loss on line 15, column (3) or b \$3,000	16	()
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Note: If the loss on line 15, column (3), is more than \$3,000, or if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the **Capital Loss Carryover Worksheet** in the instructions to figure your capital loss carryover.

Part V Tax Computation Using Maximum Capital Gains Rates

Form 1041 filers. Complete this part only if both lines 14a and 15 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), and Form 1041, line 22, is more than zero.

Caution: Skip this part and complete the **Schedule D Tax Worksheet** in the instructions if

- Either line 14b, col (2) or line 14c, col (2) is more than zero, or
- Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero

Form 990-T trusts. Complete this part only if both lines 14a and 15 are gains, or qualified dividends are included in income in Part I of Form 990-T, and Form 990-T, line 34, is more than zero. Skip this part and complete the **Schedule D Tax Worksheet** in the instructions if either line 14b, col (2) or line 14c, col (2) is more than zero.

17	Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34)	17	
18	Enter the smaller of line 14a or 15 in column (2) but not less than zero	18	
19	Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T)	19	
20	Add lines 18 and 19	20	
21	If the estate or trust is filing Form 4952, enter the amount from line 4g, otherwise, enter -0- . . . ▶	21	
22	Subtract line 21 from line 20. If zero or less, enter -0-	22	
23	Subtract line 22 from line 17. If zero or less, enter -0-	23	
24	Enter the smaller of the amount on line 17 or \$2,300	24	
25	Is the amount on line 23 equal to or more than the amount on line 24? <input type="checkbox"/> Yes. Skip lines 25 and 26, go to line 27 and check the "No" box. <input type="checkbox"/> No. Enter the amount from line 23	25	
26	Subtract line 25 from line 24	26	
27	Are the amounts on lines 22 and 26 the same? <input type="checkbox"/> Yes. Skip lines 27 thru 30, go to line 31 <input type="checkbox"/> No. Enter the smaller of line 17 or line 22	27	
28	Enter the amount from line 26 (If line 26 is blank, enter -0-)	28	
29	Subtract line 28 from line 27	29	
30	Multiply line 29 by 15% (15)	30	
31	Figure the tax on the amount on line 23. Use the 2011 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	31	
32	Add lines 30 and 31	32	
33	Figure the tax on the amount on line 17. Use the 2011 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	33	
34	Tax on all taxable income. Enter the smaller of line 32 or line 33 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36)	34	

Schedule D (Form 1041) 2011

Department of the Treasury
Internal Revenue Service

► See instructions for Schedule D (Form 1041).

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2011

Name of estate or trust

Employer identification number

THE HARKNESS FOUNDATION FOR DANCE, INC.

13-1926551

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b	-131,948.
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For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2011

DEPRECIATION

Listed Property

AMORTIZATION		Date placed in service	Cost or basis	Accumulated amortization	Ending accumulated amortization	Code	Life	Current-year amortization
Asset description								
TOTALS								

PAGE 36

Application for Extension of Time To File an Exempt Organization Return

OMB No 1545-1709

► **File a separate application for each return.**

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒ **X**
- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form)

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868

Electronic filing (e-file) You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit www.irs.gov/efile and click on *e-file for Charities & Nonprofits*.

Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete

Part I only ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns

Enter filer's identifying number, see instructions

Type or print

File by the
due date for
filing your
return. See
instructions

Name of exempt organization or other filer, see instructions

Employer identification number (EIN) or

THE HARKNESS FOUNDATION FOR DANCE, INC.

☒ 13-1926551

Number, street, and room or suite no. If a P O box, see instructions

Social security number (SSN)

145 EAST 48TH STREET

City, town or post office, state, and ZIP code. For a foreign address, see instructions

NEW YORK, NY 10017

Enter the Return code for the return that this application is for (file a separate application for each return) ☐ 0 ☐ 4

Application Is For	Return Code	Application Is For	Return Code
Form 990	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 990-EZ	01	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

- The books are in the care of ► THEODORE S. BARTWINK

Telephone No ► 212 755-5540

FAX No ► 212 485-5501

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____ If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

- 1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 08/15, 20 12, to file the exempt organization return for the organization named above. The extension is for the organization's return for
- ☒ calendar year 20 11 or
- ☐ tax year beginning _____, 20 _____, and ending _____, 20 _____

- 2 If the tax year entered in line 1 is for less than 12 months, check reason ☐ Initial return ☐ Final return
- ☐ Change in accounting period

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	17,136.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	11,136.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	6,000.

Caution. If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

For Privacy Act and Paperwork Reduction Act Notice, see Instructions

Form **8868** (Rev. 1-2012)

- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only Part II and check this box. ☒ **X**
- Note. Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868
- If you are filing for an **Automatic 3-Month Extension**, complete only Part I (on page 1)

Part II Additional (Not Automatic) 3-Month Extension of Time. Only file the original (no copies needed).

Type or print File by the due date for filing your return. See instructions.	Enter filer's identifying number, see instructions	
	Name of exempt organization or other filer, see instructions	Employer identification number (EIN) or
	THE HARKNESS FOUNDATION FOR DANCE, INC.	<input checked="" type="checkbox"/> 13-1926551
	Number, street, and room or suite no. If a P.O. box, see instructions	Social security number (SSN)
	145 EAST 48TH STREET	<input type="checkbox"/>
	City, town or post office, state, and ZIP code. For a foreign address, see instructions	
	NEW YORK, NY 10017	

Enter the Return code for the return that this application is for (file a separate application for each return) ☐ 0 ☐ 4

Application Is For	Return Code	Application Is For	Return Code
Form 990	01	Form 990-BL	08
Form 990-BL	02	Form 1041-A	08
Form 990-EZ	01	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.

- The books are in the care of THEODORE S. BARTWINK
Telephone No 212 755-5540 FAX No 212 485-5501
- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) . If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for
- 4 I request an additional 3-month extension of time until 11/15, 20 12.
- 5 For calendar year 2011, or other tax year beginning , 20 , and ending , 20 .
- 6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return
☐ Change in accounting period
- 7 State in detail why you need the extension ALL INFORMATION REQUIRED TO FILE A COMPLETE AND ACCURATE RETURN IS NOT YET AVAILABLE.

8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	8a \$	17,136.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b \$	17,136.
c Balance Due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions	8c \$	0

Signature and Verification must be completed for Part II only.

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature ▶

Title ▶

CPA

Date ▶

8/13/12

Form 8868 (Rev 1-2012)