Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

or Section 4947(a)(1) Trust Treated as Private Foundation

▶ **Do not enter Social Security numbers on this form as it may be made public.**
▶ **Information about Form 990-PF and its separate instructions is at *www.irs.gov/form990pf*.**

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning , and ending

Name of foundation: The Charles A. Dana Foundation, Incorporated

Number and street (or P.O. box number if mail is not delivered to street address): 505 Fifth Avenue — Room/suite: 6th Fl

City or town: New York — State: NY — ZIP code: 10017

Foreign country name — Foreign province/state/county — Foreign postal code

A Employer identification number: 06-6036761

B Telephone number (see instructions): 212-223-4040

C If exemption application is pending, check here ▶ ☐

D 1. Foreign organizations, check here ▶ ☐

2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change

H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶ $ 242,498,391

J Accounting method: ☐ Cash ☒ Accrual ☐ 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)
Revenue 1	Contributions, gifts, grants, etc., received (attach schedule)				
2	Check ▶ ☐ if the foundation is **not** required to attach Sch. B				
3	Interest on savings and temporary cash investments				
4	Dividends and interest from securities	1,241,194	1,241,194		
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	3,396,026			
b	Gross sales price for all assets on line 6a 39,445,841				
7	Capital gain net income (from Part IV, line 2)		3,396,026		
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) (attach schedule)				
11	Other income (attach schedule) Schedule 1	8,263,944	7,636,852		
12	**Total.** Add lines 1 through 11	12,901,164	12,274,072	0	
Operating and Administrative Expenses 13	Compensation of officers, directors, trustees, etc.	1,182,566	199,264		983,302
14	Other employee salaries and wages	1,256,054	126,230		1,010,924
15	Pension plans, employee benefits	1,040,176	95,227		770,364
16a	Legal fees (attach schedule) Schedule 2	11,224			11,224
b	Accounting fees (attach schedule) Schedule 3	53,242	42,594		10,648
c	Other professional fees (attach schedule) Schedule 4	1,263,740	420,579		843,161
17	Interest				
18	Taxes (attach schedule) (see instructions) Schedule 5				
19	Depreciation (attach schedule) and depletion	37,862	3,786		
20	Occupancy	704,810	140,962		696,840
21	Travel, conferences, and meetings	93,417			80,883
22	Printing and publications	323,600			323,600
23	Other expenses (attach schedule) Schedule 6	170,071			177,022
24	**Total operating and administrative expenses.** Add lines 13 through 23	6,136,762	1,028,642	0	4,907,968
25	Contributions, gifts, grants paid	7,558,780			9,495,622
26	**Total expenses and disbursements.** Add lines 24 and 25	13,695,542	1,028,642	0	14,403,590
27	Subtract line 26 from line 12:				
a	**Excess of revenue over expenses and disbursements**	-794,378			
b	**Net investment income** (if negative, enter -0-)		11,245,430		
c	**Adjusted net income** (if negative, enter -0-)			0	

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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 (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets 1	Cash—non-interest-bearing	9,003,487	12,928,952	12,928,952
2	Savings and temporary cash investments			
3	Accounts receivable ▶ 9,840			
	Less: allowance for doubtful accounts ▶	5,403	9,840	9,840
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			
10a	Investments—U.S. and state government obligations (attach schedule)			
b	Investments—corporate stock (attach schedule) Schedule 7	41,970,620	58,646,065	58,646,065
c	Investments—corporate bonds (attach schedule)			
11	Investments—land, buildings, and equipment: basis ▶			
	Less: accumulated depreciation (attach schedule) ▶			
12	Investments—mortgage loans			
13	Investments—other (attach schedule) Schedule 8	179,228,758	170,755,399	170,355,399
14	Land, buildings, and equipment: basis ▶ Schedule 9 410,438			
	Less: accumulated depreciation (attach schedule) ▶ 114,706	333,594	295,732	295,732
15	Other assets (describe ▶ See Attached Statement 10)	352,702	262,403	262,403
16	**Total assets** (to be completed by all filers—see the instructions. Also, see page 1, item I)	230,894,564	242,898,391	242,498,391
Liabilities 17	Accounts payable and accrued expenses	125,176	343,031	
18	Grants payable	8,495,750	6,558,909	
19	Deferred revenue			
20	Loans from officers, directors, trustees, and other disqualified persons			
21	Mortgages and other notes payable (attach schedule)			
22	Other liabilities (describe ▶ See Attached Statement 11)	3,909,812	4,276,405	
23	**Total liabilities** (add lines 17 through 22)	12,530,738	11,178,345	
Net Assets or Fund Balances	**Foundations that follow SFAS 117, check here** ▶ ☒ **and complete lines 24 through 26 and lines 30 and 31.**			
24	Unrestricted	218,363,826	231,720,046	
25	Temporarily restricted			
26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☐ **and complete lines 27 through 31.**			
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)	218,363,826	231,720,046	
31	**Total liabilities and net assets/fund balances** (see instructions)	230,894,564	242,898,391	

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	218,363,826
2	Enter amount from Part I, line 27a	2	-794,378
3	Other increases not included in line 2 (itemize) ▶ Net Unrealized Appreciation in Investment Assets	3	14,810,560
4	Add lines 1, 2, and 3	4	232,380,008
5	Decreases not included in line 2 (itemize) ▶ See Attached Statement 11	5	659,962
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	231,720,046

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 attached schedule 13 a	P	various	various
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	39,445,841		36,049,815	3,396,026
b				
c				
d				
e				

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				3,396,026
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	3,396,026
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))
2012	21,012,269	228,781,996	0.091844
2011	15,841,123	239,391,997	0.066172
2010	19,180,756	233,715,618	0.082069
2009	21,704,566	227,987,593	0.095201
2008	27,981,968	276,875,689	0.101063

2	**Total** of line 1, column (d)	2	0 436349
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 087270
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	232,737,644
5	Multiply line 4 by line 3	5	20,311,014
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	112,454
7	Add lines 5 and 6	7	20,423,468
8	Enter qualifying distributions from Part XII, line 4	8	14,403,590

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 ▶ ☐ 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 ▶ ☐ and enter 1% of Part I, line 27b	1	224,909
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	224,909
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	4	
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-	5	224,909
6	Credits/Payments:		
a	2013 estimated tax payments and 2012 overpayment credited to 2013 — 6a 299,764		
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	299,764
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ 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	0
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	74,855
11	Enter the amount of line 10 to be: **Credited to 2014 estimated tax** ▶ 74,855 **Refunded** ▶	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?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1b		X
	*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.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: **(1)** On the foundation. ▶ $ ______ **(2)** On foundation managers. ▶ $ ______			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ ______			
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.*	2		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*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a	X	
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b	X	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		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?	6	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*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ CT, DC, MD, 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*	8b	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 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		X

Part VII-A Statements Regarding Activities *(continued)*

			Yes	No
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) Statement 14	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 ▶ www.dana.org

14 The books are in care of ▶ Burton M Mirsky Telephone no. ▶ 212 223 4040
Located at ▶ 505 Fifth Avenue, 6th Floor New York NY ZIP+4 ▶ 10017

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

			Yes	No
16	At any time during calendar year 2013, 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		X
	See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶			

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? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☒ Yes ☐ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ 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)? ☐ Yes ☒ 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.) ☐ Yes ☒ 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)?	1b		X
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
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 2013?	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 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? ☐ Yes ☒ No			
	If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
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.)	2b	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 ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2013 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 2013.)*	3b	N/A	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	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 2013?	4b		X

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

			Yes	No
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)? (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)?	5b		X
	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? Statement 15 ☒ 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?	7b	N/A	

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
Statement 16		1,182,566	221,537	

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
Statement 17	.00	515,118	186,383	
	.00	0		
	.00	0		
	.00	0		
	.00	0		
Total number of other employees paid over $50,000 ▶				4

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
Cambridge Assoc 125 High Street, Boston, MA 02110-2112	Investment Advice	133,256
Guy McKhann, M.D. 3400 North Charles St, Baltimore, MD 21228	Health Program Consultant	225,000
Carolyn Asbury, P.h.D. 700 Commodore Court, Unit 2728, Philadelphia, PA 19146	Grant Program Consultant	87,500
American Technologies Services 2751 Prosperity Avenue, 6th Fl, Fairfax, VA 22031	Internet Consultants	117,698
Silchester Intl Investors, Inc 780 Third Avenue, NY, NY 10017	Investment Management	98,354
Total number of others receiving over $50,000 for professional services ▶		3

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 Statement 18 - Total Expenses - $4,907,968 12-1 Grants	1,719,437
2 12-2 Outreach- News Office	1,449,174
3 12-3 Outreach- Website	1,083,686
4 12-4 Outreach- Publications	655,671

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 None	
2	
All other program-related investments See instructions. 3	
Total. Add lines 1 through 3 ▶	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	56,322,922
b	Average of monthly cash balances	1b	11,649,190
c	Fair market value of all other assets (see instructions)	1c	168,309,760
d	**Total** (add lines 1a, b, and c)	1d	236,281,872
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	236,281,872
4	Cash deemed held for charitable activities. Enter 1 ½ % of line 3 (for greater amount, see instructions)	4	3,544,228
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	232,737,644
6	**Minimum investment return.** Enter 5% of line 5	6	11,636,882

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	11,636,882
2a	Tax on investment income for 2013 from Part VI, line 5	2a	224,909		
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	73,969		
c	Add lines 2a and 2b			2c	298,878
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	11,338,004
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	11,338,004
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	11,338,004

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	14,403,590
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	14,403,590
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	
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	14,403,590

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 2012	(c) 2012	(d) 2013
1	Distributable amount for 2013 from Part XI, line 7				11,338,004
2	Undistributed income, if any, as of the end of 2013:				
a	Enter amount for 2012 only			0	
b	Total for prior years: 20___, 20___, 20___				
3	Excess distributions carryover, if any, to 2013:				
a	From 2008 . . . 14,446,614				
b	From 2009 . . . 10,337,978				
c	From 2010 . . . 7,727,384				
d	From 2011 . . . 4,064,964				
e	From 2012 . . . 9,741,520				
f	**Total** of lines 3a through e	46,318,460			
4	Qualifying distributions for 2013 from Part XII, line 4: ▶ $ 14,403,590				
a	Applied to 2012, 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 2013 distributable amount				11,338,004
e	Remaining amount distributed out of corpus	3,065,586			
5	Excess distributions carryover applied to 2013. *(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	49,384,046			
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				
d	Subtract line 6c from line 6b. Taxable amount—see instructions				
e	Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount—see instructions			0	
f	Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0
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 2008 not applied on line 5 or line 7 (see instructions)	14,446,614			
9	**Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a	34,937,432			
10	Analysis of line 9:				
a	Excess from 2009 . . . 10,337,978				
b	Excess from 2010 . . . 7,727,384				
c	Excess from 2011 . . . 4,064,964				
d	Excess from 2012 . . . 9,741,520				
e	Excess from 2013 . . . 3,065,586				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2013, 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)

	Tax year	Prior 3 years			
	(a) 2013	(b) 2012	(c) 2011	(d) 2010	(e) Total
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					0
b 85% of line 2a					0
c Qualifying distributions from Part XII, line 4 for each year listed					0
d Amounts included in line 2c not used directly for active conduct of exempt activities					0
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					0
3 Complete 3a, b, or c for the alternative test relied upon:					
a "Assets" alternative test—enter: (1) Value of all assets					0
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					0
b "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					0
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)					0
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					0
(3) Largest amount of support from an exempt organization					0
(4) Gross investment income					0

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 or e-mail address of the person to whom applications should be addressed:

Statement 19

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

Statement 19

c Any submission deadlines:

Statement 19

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

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Part XV Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	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*				
see attached schedule 20				5,595,622
Total ▶ 3a				5,595,622
b *Approved for future payment*				
see attached schedule 20				1,963,158
Total ▶ 3b				1,963,158

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

	Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	Related or exempt function income (See instructions.)
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	900099		14	1,241,194	
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	900099		18	3,396,026	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue: a					
b Partnership Investments	900099	282,351	01	7,969,443	
c Misc	900099		01	12,150	
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		282,351		12,618,813	0

13 **Total.** Add line 12, columns (b), (d), and (e) 13 12,901,164

(See worksheet in line 13 instructions to verify calculations.)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See instructions)

Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

			Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of:			
	(1) Cash	1a(1)		X
	(2) Other assets	1a(2)		X
b	Other transactions:			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.

(a) Line no.	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

b If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship

Sign Here

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

▶ [signature] 10/16/14 ▶ Executive Vice Pres.

Signature of officer or trustee | Date | Title

May the IRS discuss this return with the preparer shown below (see instructions)? ☐ Yes ☐ No

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
Firm's name ▶			Firm's EIN ▶	
Firm's address ▶			Phone no	

Foreign Taxes

Name of partnership/corporation	Employer identification number
BRANDYWINE GLOBAL OPPORTUNISTIC ABSOLUTE RETURN FUND	46-1858165

a Name of foreign country or U.S. possession	OTHER COUNTRY
b Total gross income sourced at shareholder/partner level	143,671.
c Total gross income sourced at corporate/partnership level:	
(1) Passive category	122,472.
(2) General category	
(3) Section 901(j) income	
(4) Income re-sourced by treaty	
(5) Other income	
d Deductions allocated and apportioned at shareholder/partner level:	
(1) Interest expense	
(2) Other	
e Deductions allocated and apportioned at corporate/partnership level:	
(1) Passive category	
(2) General category	
(3) Section 901(j) income	
(4) Income re-sourced by treaty	
(5) Other income	
f Total foreign taxes - [X] Paid [ ] Accrued	5,970.
g Reduction in taxes available for credit	

The Charles A Dana Foundation, Incorporated
Form 990PF
2013 Partnership/Trust Income
Part 1 Line 11

Schedule 1

	Ein #	Column (a) Income Per Books	Column (b) Net Investment Income Net of UBTI Per Actual K-1	UBTI	Taxable Income Per K-1
Knightsbridge Venture Capital	20-1463725	$218,246	$251,501	$32	$251,533
Abbott Capital Fund II	04-3396222	-$1,540,651	-132,980	-63	-$133,043
Abbott Capital Fund IV	36-7045759	$1,040,113	857,819	2,486	$860,305
Abbott Capital Fund V	20-2896577	$513,720	337,837	41,129	$378,966
Abbott Capital Fund VI	26-2293853	$55,486	4,733	-16,117	-$11,384
Sovereign New Millenium Fund	84-1460377	$0	-37,840	18	-$37,822
Adamas Opportunities LP.	04-3514360	$331,269	164,277	68,976	$233,253
Adamas Opportunities LP.	04-3514360	$0			$215,400
Adamas Partners LP.	04-3514358	$226,694	294,214	17,994	$312,208
Davidson Kempner	13-3597020	$523,478	522,539	939	$523,478
TIFF Partners III LP.	58-2426874	$103,625	122,953	-2,070	$120,883
TIFF Partners IV LP.	54-2007544	$243,843	304,718	4,906	$309,624
Oak Hill Capital Partners Bermuda	52-2265365	-$17	-17		-$17
Oak Hill Capital Partners	22-3624482	-$81,022	-6,922		-$6,922
Silchester	36-7045759	$895,496	895,496		$895,496
Wellington Strategic Real assets	90-6110063	-$698,759	-698,759		-$698,759
TIFF Secondary Partners (TSP) TIFF I	56-2384583	$18,494	19,634		19,634
Hintz, Holman & Rubillard - Jubilee Tax Exempt	13-4036300	$485,161	485,161		485,161
Commonfund Private Equity-VI	16-1720029	$506,310	498,062	8,245	506,307
Commonfund Private Equity- VII	20-8306306	$230,085	227,746	2,339	230,085
Commonfund International Private Equity VI	20-8306365	$169,664	169,493	171	169,664
Commonfund Capital Venture Partners VIII	11-3814030	$11,637	7,480	4,157	11,637
Brandywine Intl Fixed	84-1667486	$322,871	322,871		322,871
Brandywine Global Opportunistic Absolute Return	46-1858165	-$9,014	-9,014		-9,014
Adage Capital	04-3574590	$1,535,259	1,535,259		1,535,259
Forester Capital-B	13-4079780	$658,774	210,774	96,776	307,550
1607 Capital Partners	26-1761983	$1,095,124	1,095,124		1,095,124
Flag Real Asssets	20-8736989	-$408,011	194,760	66,933	194,760
Newport Asia	06-6036761	-$2,507	-2,507		-2,507
Commonfund Capital Natl Resources Partners IX	37-1656529	-$12,032	-11,927	-105	-12,032
Harvest MLP Inc Fund LLC	27-2968896	-$12,178	2,217	-14,395	-12,178
Tax Loss Limitation Abbott II		1,335,579			
Tax Loss Limitation Oak Hill		74,100			
Commonfund adj P/Y True up		10,812			
Posting Error		-9,000			
P/Y True up K-1 to Books		419,145			
Partnership Income		$8,251,794	$7,624,702	$282,351	$8,055,520
Misc Income		$12,150	$12,150		
Total Per Line 12		$8,263,944	$7,636,852		
Adj to Book Partnership Income to Income per K-1's		-$627,092			
Reconcilliation		$7,636,852			

Schedule 2

Part I, Line 16a (990-PF) - Legal Fees

	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
		11,224	0	0	11,224
1	White and Case	5,427			5,427
2	Robinson Cole	4,945			4,945
3	CT Corp	852			852

Schedule 3

Part I, Line 16b (990-PF) - Accounting Fees

	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
		53,242	42,594	0	10,648
1	O'Connor Davies et al	49,392	39,514		9,878
2	Preferred Pension	3,850	3,080		770

Schedule 4

Part I, Line 16c (990-PF) - Other Professional Fees

	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
		1,263,740	420,579	0	843,161
1	Dr Mckhann	225,000			225,000
2	Dr Asbury	87,500			87,500
3	Dr Blakemore	50,000			50,000
4	Dr Magistetti	35,000			35,000
5	Dr Irani	10,000			10,000
6	Dr Jamisson	37,500			37,500
7	Honoraria and Reviews- Less Than $5,000	92,423			92,423
8	Dr Treisman	12,500			12,500
9	Dr Albert	25,000			25,000
10	Cambridge Assoc	133,256	133,256		
11	Silchester	98,354	98,354		
12	Wellington Management	45,156	45,156		
13	Eagle Management Advisors	76,867	76,867		
14	BrandyWine Fund	43,522	43,522		
15	JP Morgan Chase	23,424	23,424		
16	Dr Boatman	10,000			10,000
17	Freelance Writers	13,874			13,874
18	Price Waterhouse	23,006			23,006
19	Idealist Consulting	41,475			41,475
20	Npower	30,000			30,000
21	ADP	3,435			3,435
22	Thought Machine	18,750			18,750
23	Dr Grant	10,000			10,000
24	American Technology Services	117,698			117,698

Schedule 5 08-6038781

Part I, Line 19 (990-PF) - Depreciation and Depletion

	Description	Date Acquired	Method of Computation	Asset Life	Cost or Other Basis	Beginning Accumulated Depreciation	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income
							37,862	3,786	0
1	Leasehold Improvements NYO	various	various	various	410,438	76,844	37,862	3,786	

Schedule 6

Part I, Line 23 (990-PF) - Other Expenses

	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
		170,071	0	0	177,022
1	Insurance	77,544			77,544
2	Computers	28,097			28,097
3	Dues/Subscription	6,062			6,062
4	Filing Fees	3,697			3,697
5	Prof Devel	4,422			4,422
6	Office Expense	27,799			27,799
7	Miscellaneous	7,892			7,892
8	Telephone-Fax-Copier	14,558			14,558
9	Accrual to Cash Adjustment				6,951

Charles A Dana Foundation
Form 990 PF-Part II
06-6036761
Year 2013

Schedule 7

	Line	column a Book Value	column b Book Value	column c Fair Value
U.S. and state government obligations				
Corporate Stock	**10b**			
Equities- See Attached 7A		8,829,518	$11,766,157	$11,766,157
Money Market Fund- See Statement 7A		701,280	$52,537	$52,537
Sub-total		$9,530,798	$11,818,694	$11,818,694
Mutual Funds :				
Vanguard Emerging Mkts.-Index Fund		9,525,292	9,049,846	9,049,846
Vanguard Total Bond Fund		7,471,416	0	0
Bridgeway Funds		7,613,490	10,024,396	10,024,396
Franklin Templeton		7,829,624	0	0
Vanguard Precious Metal & Mining Fund			4,451,925	4,451,925
Vanguard Energy Fund			6,839,262	6,839,262
Vanguard Short Term Treasury			12,439,307	12,439,307
Vanguard Developed Markets			4,022,635	4,022,635
Sub-total		32,439,822	46,827,371	46,827,371
Total Corporate and Mutual Funds Stock	10b	$41,970,620	$58,646,065	$58,646,065

Statement 7A

First Republic Trust Company
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ACCOUNT STATEMENT

ACCOUNT NUMBER: 1040001656
DECEMBER 01, 2013 TO DECEMBER 31, 2013

INVESTMENT DETAIL - PRINCIPAL

QUANTITY	DESCRIPTION	UNIT PRICE MARKET VALUE	COST BASIS
CASH EQUIVALENTS			
SAVINGS ACCOUNTS			
52,537.040	FIRST REPUBLIC BANK MONEY MARKET	1.000 52,537 04	52,537.04
TOTAL	SAVINGS ACCOUNTS	52,537 04	52,537 04
TOTAL	**CASH EQUIVALENTS**	52,537 04	52,537 04
EQUITIES			
COMMON STOCK			
6,600.000	ALTERA CORP COM	32.511 214,572 60	134,284.92
1,300.000	ANADARKO PETROLEUM	79.320 103,116.00	102,902.93
3,100.000	APACHE CORP	85.940 266,414.00	264,766 69
5,000.000	BERKELEY W R CORP	43.390 216,950.00	115,043.39
7,100.000	BERKSHIRE HATHAWAY INC DEL CL B NEW	118.560 841,776.00	564,036.10
10,900.000	COCA COLA CO COM	41.310 450,279.00	246,973.10
8,150.000	COMCAST CORP NEW CORP CL A SPL	49.880 406,522.00	122,060.92
4,800.000	CONSTELLATION BRANDS	70.380 337,824.00	208,115.52
5,200.000	DISH NETWORK CORP CL A	57.920 301,184.00	199,184.05
4,900.000	ECOLAB INC COM	104.270 510,923.00	183,227.00
4,600.000	FIDELITY NATIONAL INFO SVCS INC	53.680 246,928.00	85,229.26
1,609.000	GOLDMAN SACHS GROUP INC	177.260 285,211.34	174,358.68
550.000	GOOGLE INCORPORATED	1,120.710 616,390.50	297,314.66
5,700.000	LOEWS CORP COM	48.240 274,968.00	184,179.09
15,900.000	MICROSOFT CORP	37.410 594,819.00	415,450.09
10,800.000	MONDELEZ INTL INC CLASS A	35.300 381,240.00	232,578.49
19,900.000	MORGAN STANLEY CO	31.360 624,064.00	293,927.69

INVESTMENT DETAIL - PRINCIPAL (CONTINUED)

QUANTITY	DESCRIPTION	UNIT PRICE MARKET VALUE	COST BASIS
COMMON STOCK			
3,125.000	NEWS CORP CL A	18.020 56,312.50	8,863.50
6,600.000	NOBLE ENERGY INC	68.110 449,526.00	35,478.30
16,400.000	ORACLE CORP COM	38.260 627,464.00	429,786.14
4,200.000	PEPSICO INC	82.940 348,348.00	274,547.65
3,000.000	PRAXAIR INC	130.030 390,090.00	122,250 00
3,100.000	THERMO FISHER SCIENTIFIC INC	111.350 345,185.00	104,567.58
1,100.000	3M CO	140.250 154,275.00	78,563.33
12,500.000	TWENTY FIRST CENTY FOX INC CL A	35.170 439,625.00	68,524.00
5,980.000	UNITED HEALTH GROUP INC	75.300 450,294.00	176,159.96
5,400.000	WAL-MART STORES INC	78.690 424,926.00	253,825 52
TOTAL	COMMON STOCK	10,359,226.94	5,376,198 56
ADR - COMMON STOCK			
2,900.000	NESTLE S A SPONSORED ADR	73.590 213,411.00	110,774.14
8,700.000	AON PLC SHS CL A	83.890 729,843.00	314,152.24
TOTAL	ADR - COMMON STOCK	943,254 00	424,926 38
FOREIGN HELD EQUITIES			
5,499.000	LIBERTY GLOBAL PLC	84.320 463,675.68	78,012.42
TOTAL	FOREIGN HELD EQUITIES	463,675 68	78,012 42
TOTAL	**EQUITIES**	11,766,156 62	5,879,137 36
247,150.040	**TOTAL PRINCIPAL ASSETS**	**11,818,693.66**	**5,931,674.40**

The Charles A. Dana Foundation, Incorporated
Other Investments
Part II- Line 13
2013

Schedule 8

	column (a) Net Book Value 01-Jan	column (b) Net Book Value 31-Dec	column (c) Fair Market Value 31-Dec
Adage Capital	$14,820,144	$20,571,595	$20,571,595
Black Bear Offshore Fund - Offshore	72,404	72,404	72,404
Hintz , Holman & Rubillard - Jubilee Tax Exempt	4,858,452	5,998,263	5,998,263
Greenlight Capital Offshore	6,070,195	7,215,986	7,215,986
Davidson Kempner	12,176,036	9,314,406	9,314,406
King Street Capital	7,046,389	7,874,069	7,874,069
Adamas Opportunities L.P.	6,949,690	8,229,259	8,229,259
Adamas Partners L.P.	6,456,049	7,204,563	7,204,563
Forester Capital-B	13,934,822	8,107,147	8,107,147
Silchester	10,484,669	10,916,741	10,916,741
1607 Capital Partners	5,988,052	7,504,482	7,504,482
Newport Asia	5,930,916	6,449,754	6,449,754
Prince Street Opportunities	5,623,145	6,565,200	6,565,200
Abbott Capital Fund II	373,348	0	0
Abbott Capital Fund IV	4,508,684	4,152,964	4,152,964
Abbott Capital Fund V	3,640,518	3,754,989	3,754,989
Abbott Capital Fund VI	1,563,518	2,330,490	2,330,490
Commonfund Private Equity-VI	4,195,650	3,941,915	3,941,915
Commonfund Private Equity- VII	2,998,380	3,873,976	3,873,976
Commonfund International Partners VI	5,744,390	6,361,230	6,361,230
Commonfund Venture Partners VIII	4,379,565	5,754,779	5,754,779
Knightsbridge Venture Capital	4,356,818	5,207,308	5,207,308
Oak Hill Capital Partners-Bermuda	88,860	29,548	29,548
Oak Hill Capital Partners	140,523	41,523	41,523
Sovereign New Millenium Fund	468,527	290,771	290,771
TIFF Secondary Partners (TSP) TIFF I	252,261	206,684	206,684
TIFF Partners III L.P.	989,846	707,684	707,684
TIFF Partners IV L.P.	2,013,173	1,700,894	1,700,894
Flag Real Asssets	3,340,548	3,005,030	3,005,030
Commonfund Capital Natural Resources IX	0	264,191	264,191
Harvest Fund MLP Income Fund	0	2,074,834	2,074,834
Brandywine Global Opportunistic Absolute Return	0	7,635,318	7,635,318
Wellington Real Strategic Assets	8,588,402	0	0
Brandywine Intl Fixed	7,951,387	0	0
Asian Century Quest (funds in transit)	4,789,201	4,268,291	4,268,291
Chilton Global Natural Resources (funds in transit)	7,188,408	0	0
Gold Bullion (Dana Publ)	11,245,789	9,129,108	9,129,108
Rounding	0	3	3
Total Other Investments	$179,228,759	$170,755,399	$170,755,399

Part II, Line 14 (990-PF) - Land, Buildings, and Equipment

		Cost or Other Basis	Accumulated Depreciation Beg of Year	Accumulated Depreciation End of Year	Book Value Beg of Year	Book Value End of Year	FMV End of Year
		410,438	76,844	114,706	333,594	295,732	295,732
1	Leasehold Improvements	410,438	76,844	114,706	333,594	295,732	295,732

Schedule 10

Part II, Line 15 (990-PF) - Other Assets

		352,702	262,403	262,403
	Asset Description	Book Value Beg of Year	Book Value End of Year	FMV End of Year
1	Prepaid Expenses	113,787	125,738	125,738
2	Security Deposits	137,225	136,665	136,665
3	Prepaid Taxes	101,690	0	0

Statement 11

Part II, Line 22 (990-PF) - Other Liabilities

	Description	Beginning Balance 3,909,812	Ending Balance 4,276,405
1	Deferred Taxes	675,000	1,000,000
2	Deferred Rent	497,462	364,470
3	Postretirement Benefit Obligation	2,737,350	2,911,935

Part III (990-PF) - Changes in Net Assets or Fund Balances

Line 3 - Other increases not included in Part III, Line 2

1	Net Unrealized Appreciation in Investment Assets	1	14,810,560
2	Total	2	14,810,560

Line 5 - Decreases not included in Part III, Line 2

1	Excise Taxes-Deferred	1	325,000
2	Excise Taxes- Current	2	334,962
3	Rounding	3	
4	Total	4	659,962

Schedule 13

ırt IV (990-PF) - Capital Gains and Losses for Tax on Investment Income

	Amount
Long Term CG Distributions	0
Short Term CG Distributions	0

	Description of Property Sold	CUSIP #	How Acquired	Date Acquired	Date Sold	Gross Sales Price	Depreciation Allowed	Adjustments	Cost or Other Basis Plus Expense of Sale	Gain or Loss	F.M.V. as of 12/31/69	Adjusted Basis as of 12/31/69	Excess of FMV Over Adj Basis	Gains Minus Excess of FMV Over Adjusted Basis or Losses
						39,445,841	0	0	36,049,815	3,396,026	0	0	0	3,396,026
1	see attached schedule 13 a		P	various	various	39,445,841			36,049,815	3,396,026	0	0	0	3,396,026

The Charles A. Dana Foundation, Incorporated

Capital Gains and Losses Summary

Part IV- Line 1a

Schedule 13 a

2013

	Cost	Proceeds	Gain (Loss)
Eagle Management (First Republic Custodian)-(see Schedule 13 b)	$580,752	$1,139,441	558,689
Vanguard Developed Mkt Fund	1,489,865	1,500,000	10,135
Vanguard Total Bond Mkt Index Fund	6,978,401	7,462,406	484,005
Franklin Tempelton Global Bond	7,814,954	7,898,492	83,538
Asian Century Quest	5,000,000	5,021,370	21,370
Brandywine Intl Fixed	7,631,147	7,902,630	271,483
Wellington Strategic Real assets	6,544,561	8,323,818	1,779,257
Egain Communications	0	57,664	57,664
Genpact Ltd	10,135	81,328	71,193
Oak Hill Partners-cash distribution in excess of basis	0	58,692	58,692
Capital Gains(Losses)	$36,049,815	$39,445,841	$3,396,026

Statement 13b

FIRST REPUBLIC TRUST COMPANY
Realized Gain/Loss Report

Run on 01/24/2014 09:41:06 AM
Start Date: 01/01/2013
End Date: 12/31/2013

Account: 1040001656 **Administrator: TINA BARTON TMB 212-259-3644**
THE CHARLES A. DANA FOUNDATION, INCORPORATED

Description	Sold	Acquired	Proceeds	Cost	Gain/Loss	Covered
** SHORT TERM CAPITAL GAIN (LOSS)						
400 SHARES OF NOBLE ENERGY INC	03/13/2013	03/26/2012	45,516.46	39,432.32	6,084.14	Covered
1300 SHARES OF ORACLE CORP COM	05/10/2013	03/21/2013	44,046.26	42,459.30	1,586.96	Covered
1800 SHARES OF ORACLE CORP COM	05/10/2013	04/03/2013	60,987.13	58,325.40	2,661.73	Covered
3500 SHARES OF ORACLE CORP COM	05/10/2013	04/29/2013	118,586.09	113,056.65	5,529.44	Covered
** TOTAL SHORT TERM CAPITAL GAIN (LOSS)			269,135.94	253,273.67	15,862.27	
** LONG TERM CAPITAL GAIN (LOSS)						
1500 SHARES OF NOBLE ENERGY INC	03/13/2013	12/02/1999	170,686.72	16,126.50	154,560.22	Non Covered
1400 SHARES OF LIBERTY GLOBAL CL C	03/13/2013	08/18/2004	91,036.46	21,800.84	69,235.62	Non Covered
1200 SHARES OF MCDONALDS CORP COM	03/13/2013	10/19/2009	119,059.77	71,262.72	47,797.05	Non Covered
900 SHARES OF AON PLC SHS CL A	03/13/2013	07/15/2010	53,692.79	33,151.23	20,541.56	Non Covered
5200 SHARES OF NEWS CORP CL A	03/13/2013	02/04/2009	157,603.78	34,915.40	122,688.38	Non Covered
200 SHARES OF THERMO FISHER SCIENTIFIC INC	03/13/2013	03/19/2009	15,513.85	6,770.76	8,743.09	Non Covered
300 SHARES OF THERMO FISHER SCIENTIFIC INC	03/13/2013	04/01/2009	23,270.78	10,358.67	12,912.11	Non Covered
1000 SHARES OF LIBERTY GLOBAL CL C	04/02/2013	08/18/2004	70,138.42	15,572.03	54,566.39	Non Covered
1500 SHARES OF 3M CO	04/16/2013	03/02/2007	159,137.73	109,804.20	49,333.53	Non Covered
300 SHARES OF ORACLE CORP COM	05/10/2013	12/21/2011	10,164.53	7,716.12	2,448.41	Covered
** TOTAL LONG TERM CAPITAL GAIN (LOSS)			870,304.83	327,478.47	542,826.36	
Total			1,139,440.77	580,752.14		

SUMMARY

Description	Amount
** SUMMARY OF CAPITAL GAINS AND LOSSES **	
TOTAL SHORT TERM CAPITAL GAIN (LOSS)	15,862.27
TOTAL SHORT TERM CAPITAL GAINS DIVIDENDS	0.00
NET SHORT TERM CAPITAL GAIN (LOSS)	15,862.27

Statement 13 b

TOTAL LONG TERM CAPITAL GAIN (LOSS)	542,826.36
TOTAL LONG TERM CAPITAL GAINS DIVIDENDS	0.00
TOTAL 28% RATE CAPITAL GAINS DIVIDENDS	0.00
TOTAL SEC 1250 CAPITAL GAINS DIVIDENDS	0.00
TOTAL SEC 1202 CAPITAL GAINS DIVIDENDS	0.00
NET LONG TERM CAPITAL GAIN (LOSS)	542,826.36
NET CAPITAL GAIN (LOSS)	558,688.63
TOTAL GAIN/LOSS FROM SALES WITH UNKNOWN COST/ACQUISITION DATE	0.00

[redacted] [redacted] [redacted]

THE CHARLES A. DANA FOUNDATION, INCOROPORATED
EIN 06-6036761

2013

Statement 14

Part VII-A, Line 11: Statement of Information Regarding Ownership/Transfers to Controlled Entity

(A) Name of Controlled Entity:
Dana Alliance for Brain Initiatives, Inc
505 Fifth Avenue, 6th Fl
New York, New York 10017

(B) Employer EIN: 06-1360140

(C) Description of Transfer: Cash Grant paid during the year

(D) Amount of Transfer: $2,598,469

The Charles A. Dana Foundation, Incorporated
ID No. 06-603671

Statement 15

Year 2013

PART VII-B
Question 5c

FORM 990-PF

STATEMENT on EXPENDITURE RESPONSIBILITY

1. Grantee's name and address:

   Dana Alliance for Brain Initiatives, Inc.
   505 Fifth Avenue, 6th Fl
   New York, New York 10017

2. Date and amount of grant.

   Grants totaling $ 2,598,469 were paid to Dana Alliance during 2013

3. Purpose of grant

   The purpose of the grants was to provide for the general support of Dana Alliance to enable it to carry out its charitable purposes.

4. As of December 31,2013 the entire grant had been expended by Dana Alliance.

5. To the knowledge of the taxpaper, no portion of the funds contributed by Dana Foundation have been diverted by Dana Alliance from the purposes of the grant.

6. Dana Alliance provided Dana Foundation with a 2013 Annual Report in June 2014

The purpose of this statement is to satisfy the report-making requirements of Section 4945 (h) (3) of the Internal Revenue Code of 1986, as amended, regarding taxpaper expenditure responsibility.

Statement 15A

The Dana Alliance for Brain Initiatives

505 Fifth Avenue
6th Floor
New York, NY 10017
(212) 223-4040
fax (212) 593-7623

www.dana.org

May 29, 2014

The Dana Foundation
505 Fifth Avenue, 6th floor
New York, New York 10017

Gentlemen:

This is the written commitment required by Treasury Regulation Section 53.4945-5 (b) (3) for the grant authorized in 2013 to the Dana Alliance for Brain Initiatives, Inc. in the amount of $2,598,469 for the purpose of educating and informing the general public and interested professionals about advancements in research on the human brain and its diseases, and the continuing need for such research. All references to Sections in this letter are to Sections of the Internal Revenue Code.

We agree:

(I) To pay any portion of the amount granted which is not used for the purpose of the grant,

(II). To submit full and complete annual reports on the matter in which funds are spent and the progress made in accomplishing the purposes of the grant,

(III) To maintain a separate bank account in which the grant and all income thereon will be deposited and to maintain records of receipts and expenditures and to make our books and records available to you at reasonable times, and

(IV) Not to use any of the funds:

(a) To carry on propaganda, or otherwise to attempt to influence legislation (within the meaning of Section 4945 (d) (1)),

(b) To influence the outcome of any specific public election or to carry on, directly or indirectly, any voter registration drive (within the meaning of Section 4945 (d) (2)),

(c) To make any grant which does not comply with the requirements of Section 4945 (d) (3) or (4) or

(d) To undertake any activity for any purpose other than one specified in Section 170 (c) (2) (B).

Very truly yours,

Dana Alliance for Brain Initiatives, Inc.

By: __________________________
Burton M. Mirsky
Treasurer

The Charles A. Dana Foundation, Incorporated

2013

Part VIII Line 1

Statement 16

List of Officers and Directors

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Edward F. Rover 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Chm and Pres. President/Director Hours - 26	$544,337	$61,800	$0
Jane Nevins 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Vice President Hours-32	111,780	36,899	0
Barbara Rich 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Exec. Vice President Asst. Secretary Hours-30	234,179	52,751	0
Burton M.Mirsky 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Exec. VP and Treasurer Hours- 26	210,719	58,244	0
Barbara E. Gill 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Exec. Vice President/ Asst. Treasurer Hours- 3	27,551	8,793	0
LaSalle D. Lefall, Jr. MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	6,000	0	0
Steven E. Hyman, MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	6,000	335	0
Charles A. Dana III 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	335	0
Edward Bleier 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	585	0

The Charles A. Dana Foundation, Incorporated

2013

Part VIII Line 1

Statement 16

List of Officers and Directors

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Wallace Cook 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Secretary and Director 2 Hours	$6,000	$335	$0
Hildegarde Mahoney 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	0	0
Ann McLaughlin Korologos 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	585	0
Herbert J. Siegel 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	875	0
Peter Nadosy 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	0	0
	Grand Total	$1,182,566	$221,537	$0

The Charles A Dana Foundation

06-1360140 Statement 16A

Year 2013

Compensation reported in the 2013 Form 990PF of The Dana Alliance For Brain Initiatives, Inc. for directors and officers who are also directors and officers of the The Charles A. Dana Foundation, Incorporated that also received Compensation from The Dana Alliance for Brain Initiatives, is as follows:

Form 990-PF

List of Officers and Directors

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Edward F. Rover 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Chm President/Director Hours - 9	$181,446	$20,600	$0
Burton M.Mirsky 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Treasurer Hours- 9	70,240	19,414	0
Barbara E. Gill 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Vice President Hours- 32	247,955	79,140	0
LaSalle D. Leffall,Jr. MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	3,000	0	0
Steven E. Hyman, MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	3,000	0	0
	Totals	$505,641	$119,154	$0

The Charles A. Dana Foundation, Incorporated

Statement 17

06-6036761

Year 2013

Form 990-PF | Part VIII, Line 2

List of Highest Paid Employees

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
James Rutt 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director, IT 24 Hours	$143,055	$62,602	0
Mary Lucas 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Grants Manager 35 Hours	100,600	$37,074	0
Patricia Mangini 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Dir Human Resources 32 Hours	76,425	$47,115	0
Rosemary Shields 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director of Admin. 27 Hours	94,538	$31,904	0
Carolyn Asbury 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Snr Consultant 35 Hours	100,500	$7,688	0
Total		$515,118	$186,383	$0

The Charles A. Dana Foundation, Incorporated

Year 2013

EIN # 06-6036761

Statement 17A

Certain of the individuals listed on Part VIII , line 2 also perform services for Dana Alliance for Brain Initiatives , Inc. (Alliance), EIN 06-1360140. Foundation exercises expenditure responsibility over Alliance. Compensation is paid by a common paymaster. Compensation information for these individuals for 2013 from Alliance is as follows:

Employee	Title/Hours	Compensation	Benefits	Other
Jim Rutt	Director, IT/ 9	$25,245	$11,047	$0
Rosemary Shields	Director of Admin/8	31,513	$10,634	0
Patricia Mangini	Director Human Resources/8	25,475	$11,254	0
		$82,233	$32,935	$0

The Charles A. Dana Foundation, Incorporated
2013

Statement 18
Form 990-PF, Part IX-A
Summary of Four Largest Direct Charitable Activities: **Total Expenses: $4,907,968**

GRANTS: The Foundation administers the various programs that support research in science and health, through the specifically designed objectives established by the Foundation's Board of Directors. The Foundation's principal interest is in neuroscience, but also supports qualified civic and cultural organizations and maintains a matching charitable gifts program for its employees. The 2013 charitable gifts awarded and paid by the Foundation are listed in Statement 20.

Expenses: $1,719,437

OUTREACH—NEWS OFFICE: The Foundation operates a free full-service news bureau that identifies media opportunities and facilitates news coverage of areas of interest to the Foundation. The Foundation also acts as an in-house resource for science-based, primarily neuroscience, materials. It provides a resource service for journalists seeking background and access to experts in the neurosciences. In 2013, the Foundation: (1) published four briefing papers, two Q&A's, and two primers (overviews of brain related topics), which were sent to select media and posted in the media section of the Dana website.; (2) sent tailored Brain Awareness Week pitches to science, health, feature, and education reporters; (3) wrote and distributed media advisories for the Staying Sharp series; (4) wrote media alerts about Dana programs; and (5) maintained the online Expert Directory of Dana Alliance members, specifically for the media. Dana continued the *Design a Brain Experiment Competition,* a contest for high school students to design original human brain-related research proposals. The winning classroom receives a $500 cash prize, as judged by an independent panel of neuroscientists. The Foundation sponsored the *New York City Regional Brain Bee,* a neuroscience competition for high school students. Answers are judged by an independent panel of neuroscientists. The winner receives a $500 cash prize and an expense-paid trip to the *U. S. National Brain Bee* at the University of Maryland. Second and third place winners receive cash prizes of $300 and $200.

Expenses: $1,449,174

OUTREACH--WEBSITE: The Dana Foundation continued to enhance its website, which features weekly and often daily stories on brain science; blogs; a user-friendly search engine; grants information; subscription features, including: RSS feeds; a Twitter account; an e-mail newsletter; and all Dana publications. The website includes regularly edited resource sections, including BrainWeb, Brainy Kids Online, and Brain Resources for Seniors, as well as neuroeducation and neuroethics sections. The European Dana Alliance for the Brain website provides users access to publications in multiple languages and links to international neuroscience research organizations. The Brain Awareness Week website offers partners and the general pubic access to the international calendar; free downloadable materials; educational resources; and current information.

Expenses: $1,083,686

OUTREACH--PUBLICATIONS: Each month, the Foundation publishes *Brain in the News* (BITN) and *Cerebrum*. BITN is published in print, with select items published online and *Cerebrum* is an online-only publication. The Foundation publishes online the "Report on Progress" 8-10 times a year and publishes eBooks. The Foundation provides editorial assistance for scientist/authors.

Expenses: $655,671

Statement 19
(1 of 5)

Grant Guidelines

(Revised January 2012)

The Dana Foundation, established in 1950 by the industrialist, philanthropist, and legislator Charles A. Dana, is a private philanthropic foundation with principal interests in science, health, and education. The Foundation's current area of research emphasis is in neuroscience. Selected proposals have the potential to improve human health or functioning. Grants also support improvement in K-12 education. No applications are considered apart from these grant programs.

GENERAL POLICIES

The Foundation:

1. Supports programs in science, health, and education through specifically defined objectives in each field.
2. Requires grantee institutions, in many cases, to share the cost of a project or raise matching funds.
3. Makes no grants directly to individuals.
4. Does not support annual operating costs of organizations, deficit reduction, capital campaigns, or individual sabbaticals.
5. Does not schedule meetings with applicants, other than by specific invitation initiated by the Foundation.

APPLICATION GUIDELINES

Neuroscience Grants

Brain and Immuno-imaging. Investigators use physiological and structural, cellular and molecular imaging techniques to pilot-test novel clinical hypotheses on the brain or interactions between brain and immune cells. Requests for Proposals (RFPs) are sent annually to deans of U.S. Medical Schools and other invited biomedical research institutions.

Clinical Neuroscience Research. Translational researchers apply to test promising therapies, from animal model research, in a small number of patients with devastating, currently untreatable, brain diseases. Also supported are studies to develop ethical guidelines for clinical brain research, and prognostic data based on treatment outcomes in patients with severe brain injuries or disorders.

All other Neuroscience Grants are made solely by invitation. For information, please contact:

Mary Lucas
Grants Office, The Dana Foundation
505 Fifth Avenue, 6th floor
New York, NY 10017
(212) 223-4040 ext. 669

Education Grants

The Foundation has supported advances in education throughout its history. The Foundation's continuing interest in fostering innovations in K-12 education is maintained through grant support for the Dana Center for Education Innovation at the University of Texas in Austin. Other Foundation support for select education projects is internally generated or invited.

For information on Education grants, please contact:

Mary Lucas
Grants Office, The Dana Foundation
505 Fifth Avenue
New York NY 10017
(212) 223-4040 ext 669

The Charles A. Dana Foundation Announces the 2013
David Mahoney Neuroimaging Program
REQUEST FOR PROPOSALS
Using Brain and Immune Imaging Innovations to Improve Human Health

PLEASE FORWARD TO ALL APPROPRIATE DEPARTMENT CHAIRS AND SPONSORED RESEARCH OFFICES

Application Deadline: Tuesday, February 21th, 2013 at Noon

The Dana Foundation's neuroimaging research program focuses on improving human brain and brain-immune functioning to promote health, and prevent and treat disease. Funds support pilot-testing by investigators who are early in their research careers of promising, high-risk, and innovative ideas with a **direct** clinical application. Successful studies are then anticipated to be competitive for larger-scale support from other funders. Grant amounts may be up to $200,000 total, payable over three years. Applicants will be informed within ten weeks of the preliminary proposal deadline on whether they are invited to prepare full proposals. The first awards will be announced in September 2013. Any subsequent award announcements will be made in December 2013.

The Program is designed to enable investigators to obtain pilot data more quickly than is possible through other funding processes. Please note that this will be The Dana Foundation's only proposal solicitation process this year, and selection will be extremely competitive, with fewer than 10 percent of preliminary proposals likely to receive funding. Below is a description of the program and application process.

This program, like all other Dana-supported research, is oriented to improve human health. Investigations, therefore, must be applicable to **human** brain or brain-immune functioning or malfunctioning to be considered for funding. Submitted proposals should focus on imaging in patients or patient tissues, and healthy volunteers.

Applications for animal model studies of brain conditions or injuries will be considered only if they relate directly to humans but cannot yet feasibly be undertaken in humans, and are anticipated to be translated into human research following the three-year grant period. Such studies include research on: 1) normal brain anatomy and physiology in the animal model that can help to better understand the roles of cells and networks in specific cognitive functions and how these are altered by disease and injury; and 2) animal models of human diseases, either through transgenic methods or through naturally occurring or induced disease states that are directly related to the human condition. Specific criteria for animal model studies are listed in the section on Eligibility.

Previously funded studies under this Program have focused primarily on 1) understanding normal brain functioning, how it is altered by disease or injury, and how it recovers or repairs; 2) assessing and improving diagnostic and therapeutic approaches; and 3) refining and advancing imaging technologies to address specific clinical questions. In addition to these three general areas of continued interest, it is becoming increasingly apparent that neurodegenerative diseases, such as Alzheimer's and Parkinson's disease, and mental illnesses such as schizophrenia and depression start long before they are clinically evident. The Foundation, therefore, encourages studies that seek to understand developmental processes of disease, surrogate measures of early disease existence, and measures of disease progression. Also, for chronic traumatic encephalopathy and Alzheimer's disease, the role of tau is becoming of increasing interest and the Foundation is receptive to considering studies on how to image tau.

The Foundation invites each institution to submit <u>one</u> preliminary application (see eligibility), using either or both:

- **Physiological and Structural imaging -** anatomical imaging of white or gray matter and measures of physiological functioning. These proposed studies should focus on patient-oriented clinical research.
- **Cellular/molecular imaging -** biochemical actions of specific brain cells, or their interactions with immune cells, which have direct clinical relevance to human health and disease. These studies may involve human tissues or animal models. Applications can involve the study of cells within neural circuits, using a combination of imaging and single cell electrical recording, if the techniques have already been developed.

Eligibility:

Each U.S. medical school dean, and the presidents of the few selected biomedical research institutions that have been invited by letter, may nominate **one applicant**. The applicant may use either physiological/structural or cellular imaging or both. To be considered under this Program, the application must be countersigned by the medical school dean or invited biomedical institute's president.

Investigators at institutions that are affiliated with a medical school are eligible to apply *only through their affiliated medical school*, by submitting an application to the medical school dean. Previous applicants are eligible to reapply through their dean's office (or biomedical research institutes' presidents' offices). Projects involving collaborations with NIH intramural researchers or industry scientists are acceptable.

Support is focused on faculty researchers who have demonstrated the potential for independent research careers who are at the assistant professor level, or in the first few years of their associate professor appointments. Post-doctoral fellows are not eligible to apply. Applications from junior investigators that are an extension of the work of a senior mentor, particularly if from the same institution, are discouraged.

Funding of up to $200,000 payable over three years is provided for proposed studies utilizing structural/physiological or cellular/molecular imaging proposals by promising early career investigators who have not yet been awarded more than one independent research grant (R01 from the NIH or equivalent from another Federal agency).

The Foundation does **not** provide support for indirect costs. However, up to 10 percent of the total grant award may be used to purchase equipment for the study. The balance is to be used to meet direct research costs. Research that can be supported through clinical income should not be submitted. Studies should be designed to obtain meaningful data within the grant award period of up to three years.

All applicants please note:

- All proposals that seek to develop new imaging techniques or assays, or modify existing ones to address clinical questions—whether in structural/physiological or cellular/molecular imaging—*must provide preliminary evidence of feasibility and evidence of the investigator's experience in using the technology*. Proposals seeking support without such preliminary evidence will not be considered.
- Investigators proposing patient-oriented studies should provide preliminary evidence that the required number of participants—patients and controls—are available at involved research institution(s).
- *For all proposals that do not propose to undertake studies in humans*, the direct relevance to human health and functioning needs to be explicitly stated. These proposed studies will only be considered if they are designed to: 1) pose a specific question concerning the disease process that is directly related to known aspects of brain pathology seen in the human; 2) alter a factor in a healthy animal for which there is some evidence of the factor's involvement in a human disease process (as opposed to altering a factor in a healthy animal to see if the result resembles a human brain disease); and 3) be translated into studies in the human following the three-year grant period.
- Certain areas are <u>not</u> appropriate for consideration:
  - Ideas for which you do not have preliminary data.
  - Instrument development without initial evidence of feasibility and clinical applicability.
- Descriptions of all previously funded studies are available at: *http://www.dana.org/grants/imaging/*

Applying:

The application should be in the form of a **four-page** preliminary proposal, **using at least 11-point font size (font sizes smaller than that will not be reviewed) and .5 inch margins in all directions with numbered pages, consisting of the following:**

Page 1:

On institutional letterhead: Please provide a cover page containing all of the following. Write "The Dana Foundation David Mahoney Neuroimaging Program", followed by: Project title; investigator(s) name(s), title(s), phone and fax numbers, E-mail, and street addresses. Indicate the imaging category (structural/physiological or cellular/molecular, or a combination of both) and, specify the imaging technique(s) (such as fMRI, two-photon, etc). In addition, please include the names and full addresses of the sponsored research officer and the dean or president forwarding the application. ***All proposals must be countersigned by the dean of a U.S. medical school or president of a specifically invited research institution to be considered eligible.***

Pages 2-4:

Section I: A clearly and succinctly stated hypothesis.

Section II: The aims of the proposed research project. What disease(s), disorder(s) or injuries would be better understood, diagnosed, or treated? Or, what normal brain function or brain-immune interaction would be better understood? Or, what imaging technology would be refined and for what specific purposes? Such technology development or modification aims need to be accompanied by initial evidence of the project's feasibility.

Section III: The research significance and potential clinical application(s) of the research.

Section IV: The methods. Please clearly describe the research design and specify tests and analyses proposed to develop the pilot data. *If enrollment of human participants is planned, please provide preliminary evidence that the number required can be recruited from the participating institution(s).*

Section V: The qualifications of the primary investigator(s) for undertaking the proposed research. What facilities and resources at the applicant institution(s) would be used in the research? Please provide evidence that required technologies would be available for this project.

Additional Pages:

Appendix A: A list of all active grants and pending proposals by the applicant(s). *Please include an abstract that specifies the aims for any existing or pending grants from these sources of support that are related to, or could potentially overlap with, the proposed Dana study.*

Appendix B: Please provide a standard NIH four-page format CV for the primary investigator(s).

Appendix C: You may include up to two additional pages to list relevant references.

Appendix D: *Optional:* If high resolution photographs are vital to illustrate or support the methodology proposed, please enclose 10 glossy originals.

Please note: At this time, do not send a budget, or any other supporting documents.

Statement 19 (5 of 5)

<u>Proposal Review and Notification of Grant Awards:</u>

Preliminary proposals received by the February 21, 2013, deadline will be reviewed for further development. <u>Late submissions will not be considered</u>. Applicants will be informed within approximately ten weeks from preliminary proposal receipt on whether or not they are being invited to prepare full proposals. Please note below the Dana Foundation's current address.

Grants will be awarded on a "rolling" basis, with the first group of approved studies to be announced in September 2013 and the second group to be announced in December 2013.

Please refer to the FAQ's section of the Dana Foundation Web site <u>www.dana.org/grants</u> for any questions you may have regarding the proposal process.

The original application and ten copies, each stapled, should be sent to:

Angie Marin
Program Officer
The Dana Foundation
505 Fifth Avenue, 6th floor
New York, NY 10017

Staff is unable to respond to inquiries regarding application content.

The Dana Foundation, founded in 1950, is a private philanthropic foundation with major program interests in science, health, and education. This RFP and other information about the Foundation's programs may be found on our web site at <u>www.dana.org</u>

The Charles A. Dana Foundation, Inc.
Summary of Appropriations and Payments in 2013
All Sec 501(c)(3) Organizations

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Albert Einstein College of Medicine				
Glen Oaks, NY				
Neuroimaging	200,000		$100,000	100,000
American Association for the Advancement of Science				
Washington, DC				
Neuroscience Research		131,200	131,200	
American Museum of Natural History				
New York, NY		5,000	5,000	
Ad hoc				
Americans for Oxford				
New York, NY				
Ad hoc		10,000	10,000	
Arizona Community for Foundation				
Phoenix, AZ				
Arts Education	5,000			5,000
Arts Alliance of Northern New Hampshire				
Littleton, NH				
Arts Education	18,750			18,750

* Equivalency determination made, all others are public charities

The Charles A. Dana Foundation, Inc.
Summary of Appropriations and Payments in 2013

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Baylor College of Medicine				
Houston, TX				
Neuroimaging	30,000			30,000
Neuroimmunology	150,000		150,000	
Boston College				
Chestnut Hill, MA				
Neuroimaging	100,000			100,000
Brooklyn Botanical Garden				
Brooklyn, NY				
Ad hoc		2,500	2,500	
Brooklyn Museum				
Brooklyn, NY				
Ad hoc		2,500	2,500	
Brown University				
Providence, RI				
Clinical Neuroscience Research	100,000		100,000	
Burke Medical Research Institute				
White Plains, NY				
Clinical Neuroscience Research	125,000			125,000
California Institute of Technology				
Pasadena, CA				
Neuroimaging	50,000		50,000	

* Equivalency determination made, all others are public charities

The Charles A. Dana Foundation, Inc.
Summary of Appropriations and Payments in 2013

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Case Western University				
Cleveland, OH				
Neuroimaging		100,000	100,000	
Children's Hospital of Philadelphia				
Philadelphia, PA				
Neuroimaging	50,000			50,000
Columbia University College of Physicians & Surgeons				
New York, NY				
Neuroimaging		200,000		200,000
Ad hoc		120,000	120,000	
Clinical Neuroscience Research		282,000	141,000	141,000
Dana Alliance for Brain Initiatives, Inc.				
New York, NY [See statement on expenditure responsibility]				
Public education campaign on neuroscience research		2,598,469	2,598,469	
Dana Farber Cancer Institute				
Boston, MA				
Neuroimaging				
Clinical and Translational Research				
Human Immunology				
Neuroscience-related	1,000,000		100,000	900,000

* Equivalency determination made, all others are public charities

The Charles A. Dana Foundation, Inc.
Summary of Appropriations and Payments in 2013

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Duke University School of Medicine				
Durham, NC				
Neuroimaging				
Neuroimmunology	100,000		100,000	
Feinstein Institute for Medical Research				
Manhasset, NY				
Clinical Neuroscience Research				
Neuroimaging	100,000			100,000
Human Immunology				
FENS Federation of European Neuroscience Societies*				
Berlin, Germany				
Neuroscience-Related		64,158		64,158
Frick Collection				
New York, NY				
Ad hoc		5,000	5,000	
Harvard Medical School				
Cambridge, MA				
Neuroimaging	100,000			100,000
Clinical Neuroscience Research		300,000		300,000
Harvard University				
Cambridge, MA				
Arts & Cognition	362,000			362,000

* Equivalency determination made, all others are public charities

The Charles A. Dana Foundation, Inc.
Summary of Appropriations and Payments in 2013

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Henry M. Jackson Foundation				
Bethesda, MD				
Neuroimaging	$100,000		100,000	
Institut de Transplantation et de Recherche en Transplantation*				
Nantes, France				
Human Immunology	40,000			40,000
International Center of Photography				
New York, NY				
Ad hoc		5,000	5,000	
International Neuroethics Society				
Philadelphia, PA				
Neuroethics Operating Expenses		104,000	104,000	
Jewish Museum				
New York, NY				
Ad hoc		5,000	5,000	
Johns Hopkins University				
Baltimore, MD				
Neuroimaging				
Neurological problems with bypass surgery				
Clinical Neuroscience Research		158,000		158,000
Neuroscience-Related	400,000		100,000	300,000

* Equivalency determination made, all others are public charities

The Charles A. Dana Foundation, Inc.
Summary of Appropriations and Payments in 2013

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Massachusetts General Hospital				
Boston, MA				
Neuroimaging	100,000		100,000	
Clinical Neuroscience Research	250,000		125,000	125,000
Medical University of South Carolina				
Charlestown, SC				
Neuroimaging	100,000	200,000	50,000	250,000
Memorial Sloan Kettering Cancer Center				
New York, NY				
Neuroimaging	300,000		200,000	100,000
Metropolitan Musem of Art				
New York, NY				
Ad hoc		3,000	3,000	
Michigan State University				
Lansing, MI				
Neuroimaging	100,000	(70,384)	29,616	
Museum of Modern Art		3,000	3,000	
New York, NY				
Ad hoc				
Museum of the City of New York				
New York, NY		2,500	2,500	
Ad hoc				

The Charles A. Dana Foundation, Inc.
Summary of Appropriations and Payments in 2013

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
National Jewish Health				
Denver, CO				
Neuroimaging	200,000		100,000	100,000
Neue Galerie New York				
New York, NY				
Ad hoc		5,000	5,000	
New York Botanical Garden				
Bronx, NY				
Ad hoc		2,500	2,500	
New York Presbyterian Hospital Neurological Institute				
New York, NY				
Clinical Neuroscience Research	300,000		150,000	150,000
New York University School of Medicine				
New York, NY				
Neuroimaging	100,000	200,000	100,000	200,000
Neuroimmunology	100,000		100,000	
Nonprofit Coordinating Committee				
New York, NY				
Neuroscience-related		25,000	25,000	
Oregon Health Sciences University School of Medicine				
Portland, OR				
Neuroimaging	100,000		100,000	

* Equivalency determination made, all others are public charities

The Charles A. Dana Foundation, Inc.
Summary of Appropriations and Payments in 2013

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
University of Oxford				
Oxford, England				
Clinical Neuroscience Research	100,000			100,000
Pierpont Morgan Library				
New York, NY				
Ad hoc		7,500	7,500	
ReseachIAmerica				
Alexandria, VA				
Neuroscience-Related		20,000	20,000	
Rockefeller University				
New York, NY				
Clinical Neuroscience Research	100,000			100,000
Rubin Museum of Art				
New York, NY				
Ad hoc		5,000	5,000	
Salk Institute				
La Jolla, CA				
Neuroimaging		200,000	50,000	150,000
Solomon R. Guggenheim Foundation				
New York, NY				
Ad hoc		5,000	5,000	

* Equivalency determination made, all others are public charities

The Charles A. Dana Foundation, Inc.
Summary of Appropriations and Payments in 2013

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Stanford University				
Stanford, CA				
Neuroimaging**	200,000	200,000	200,000	200,000
Human Immunology				
Clinical Neuroscience Research		300,000	150,000	150,000
State of Wisconsin Department of Public Instruction				
Madison, WI				
Arts Education	5,000			5,000
SUNY Stony Brook School of Medicine				
Stony Brook, NY				
Neuroimaging	100,000			100,000
The Hebrew University of Jerusalem*				
Jerusalem, Israel				
Neuroimaging	50,000			50,000
University of Alabama School of Medicine				
Birmingham, AL				
Neuroimaging	100,000		100,000	
University of British Columbia				
Vancouver, BC				
Neuroscience-Related		10,000	10,000	

* Equivalency determination made, all others are public charities

The Charles A. Dana Foundation, Inc.
Summary of Appropriations and Payments in 2013

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
University of California, Davis				
Davis, CA				
Neuroimaging**				
(see note below)		200,000 (200,000)		
University of California, Los Angeles				
Los Angeles, CA				
Neuroimaging	200,000		100,000	100,000
Clinical Neuroscience Research	300,000		150,000	150,000
University of California, San Francisco				
San Francisco, CA				
Neuroimaging	100,000	851	851	100,000
Clinical Neuroscience Research		100,000	100,000	
University of Colorado School of Medicine				
Denver, Colorado				
Clinical Neuroscience Research	150,000		150,000	
University of Michigan Medical School				
Ann Arbor, MI				
Neuroimaging				
Neuroimmunology	150,000		150,000	
University of New Mexico				
Alburquerque, NM				
Neuroimaging	200,000		100,000	100,000

**UC Davis appropriated 200,000 in September; transferred in December to Stanford

* Equivalency determination made, all others are public charities

The Charles A. Dana Foundation, Inc.
Summary of Appropriations and Payments in 2013

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
University of Pennsylvania				
Philadelphia, PA				
Neuroimaging	200,000		200,000	
Clinical Neuroscience Research	250,000			250,000
Neuroimmunology	100,000			100,000
University of Pittsburgh				
Pittsburgh, PA				
Neuroimaging	200,000		100,000	100,000
University of Rochester				
Rochester, NY				
Neuroimaging		70,384	70,384	
University of Southern California School of Medicine				
Los Angeles, CA				
Neuroimaging	100,000			100,000
University of Texas at Austin				
Austin, TX				
Dana Center for Educational Innovation	25,000	25,000	50,000	
University of Virginia Health Science Center				
Charlottesville, VA				
Clinical Neuroscience Research				
Human Immunology	200,000		200,000	
Neuroimaging				

* Equivalency determination made, all others are public charities

The Charles A. Dana Foundation, Inc.
Summary of Appropriations and Payments in 2013

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
University of Washington School of Medicine				
Seattle, WA				
NeuroImaging	50,000	(94,335)	-44,335	
Wake Forest University Baptist Medical Center				
Winston-Salem, NC				
NeuroImaging	100,000			100,000
Washington University School of Medicine				
St. Louis, MO				
NeuroImaging	200,000	200,000	150,000	250,000
NeuroImmunology	100,000		100,000	
Weill Medical College of Cornell University				
New York, NY				
NeuroImaging				
Clinical Neuroscience Research				
Human Immunology training	35,000			35,000
NeuroImmunology	100,000			100,000
Whitney Museum of American Art				
New York, NY				
Ad hoc		5,000	5,000	
Yale University School of Medicine				
New Haven, CT				
NeuroImaging	300,000		200,000	100,000
NeuroImmunology	100,000			100,000

* Equivalency determination made, all others are public charities

The Charles A. Dana Foundation, Inc.
Summary of Appropriations and Payments in 2013

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Other Grants (Schedule attached)		2,029,000	$2,029,000	
Employee Match		26,460	$26,460	
Grants Refunds		(14,523)	-14,523	
TOTAL GRANTS	**$8,495,750**	**$7,558,780**	**$9,495,622**	**$6,558,908**

* Equivalency determination made, all others are public charities

The Charles A. Dana Foundation

Summary of "Other" Appropriations and Payments in 2013 (All are public charities, and all are for general support, except * [equivalency determination made])

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
American College of Surgeons Foundation Chicago, IL		14,000	14,000	
American School of Classical Studies at Athens Princeton, NJ		6,000	6,000	
American Repertory Theater Cambridge, MA		50,000	50,000	
Anderson Ranch Arts Center Snowmass Village, CO		40,000	40,000	
Bay Street Theater Sag Harbor, NY		5,000	5,000	
Beaver Country Day School Chestnut Hill, MA		5,000	5,000	
The Bone Marrow Foundation, Inc. New York, NY		5,000	5,000	
Boys' and Girls Clubs of America New York, NY		5,000	5,000	
Boys' Clubs of New York New York, NY		5,000	5,000	
Breast Cancer Research Foundation, Inc. New York, NY		110,000	110,000	

The Charles A. Dana Foundation

Summary of "Other" Appropriations and Payments in 2013 (All are public charities, and all are for general support, except * [equivalency determination made])

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Bridgehampton Chamber Music Festival New York, NY		15,000	15,000	
Brigham and Women's Hospital, Inc. Boston, MA		20,000	20,000	
Brunswick School Greenwich, CT		5,000	5,000	
The Building Preservation Foundation Brown Advisory Chevy Chase, MD		10,000	10,000	
Cambridge in America New York, NY		25,000	25,000	
C-Change Washington, DC		5,000	5,000	
Charities Aid Foundation West Malling, U.K.		10,000	10,000	
Children's Defense Fund Washington, DC		10,000	10,000	
Clinton Foundation Little Rock, AR		5,000	5,000	

The Charles A. Dana Foundation
Summary of "Other" Appropriations and Payments in 2013 (All are public charities, and all are for general support, except * [equivalency determination made])

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Cold Spring Harbor Laboratory Cold Spring Harbor, NY		5,000	5,000	
College of Charleston Foundation Charleston, SC		50,000	50,000	
Columbia Business School New York, NY		10,000	10,000	
Conservancy of Southwest Florida Naples, FL		5,000	5,000	
Convent of the Sacred Heart New York, NY		10,000	10,000	
Cristo Rey Network Chicago, IL		10,000	10,000	
Dana-Farber Cancer Institute Boston, MA		40,000	40,000	
Dancesport Academy, Inc. West Palm Beach, FL		10,000	10,000	
Dance Theatre of Harlem New York, NY		15,000	15,000	
Dartmouth College Hanover, NH		5,000	5,000	

The Charles A. Dana Foundation

Summary of "Other" Appropriations and Payments in 2013 (All are public charities, and all are for general support, except * [equivalency determination made])

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
DC Preparatory Academy Washington, DC		15,000	15,000	
Dunedin Fine Art Center Dunedin, FL		10,000	10,000	
East Hampton Healthcare Foundation East Hampton, NY		5,000	5,000	
ELEM/Youth in Distress in Israel New York, NY		5,000	5,000	
Ellington Fund Washington, D.C.		5,000	5,000	
Exploring the Arts, Inc. New York, NY		50,000	50,000	
Fordham University New York, NY		5,000	5,000	
Foundation Fighting Blindness Columbia, MD		25,000	25,000	
Foundation Milanollo* Lausanne, Switzerland		5,000	5,000	
Fox Chase Cancer Center Philadelphia, PA		10,000	10,000	
Friends Academy Locust Valley, NY		5,000	5,000	

The Charles A. Dana Foundation

Summary of "Other" Appropriations and Payments in 2013 (All are public charities, and all are for general support, except * [equivalency determination made])

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Friends of Budapest Festival Orchestra New York, NY		4,000	4,000	
The Green Vale School Old Bronxville, NY		10,000	10,000	
Greenwich Academy Greenwich, CT		30,000	30,000	
Guild Hall of East Hampton East Hampton, NY		10,000	10,000	
Harlem Academy New York, NY		35,000	35,000	
Harlem Village Academies New York, NY		15,000	15,000	
Harvard Art Museum Cambridge, MA		50,000	50,000	
Harvard Law School Cambridge, MA		5,000	5,000	
Harvard Scholars at Risk Cambridge, MA		25,000	25,000	
Harvard-Mahoney Neuroscience Institute Boston, MA		10,000	10,000	
Hospice Foundation of Palm Beach County, Inc. Palm Beach, FL		10,000	10,000	

The Charles A. Dana Foundation

Summary of "Other" Appropriations and Payments in 2013 (All are public charities, and all are for general support, except * [equivalency determination made])

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Hospital for Special Surgery New York, NY		5,000	5,000	
Hotchkiss School Lakeville, CT		5,000	5,000	
Howard University Hospital Washington, DC		5,000	5,000	
Howard University Hospital -- MOTTEP Washington, DC		5,000	5,000	
Howard University Medical Alumni Association Washington,DC		5,000	5,000	
International Sephardic Education Foundation New York, NY		4,000	4,000	
Investigative Project on Terrorism Foundation Washington, D.C.		5,000	5,000	
Israel Venture Network Palo Alto, CA		5,000	5,000	
Jewish Home Lifecare New York, NY		5,000	5,000	
Johns Hopkins University Baltimore, MD		10,000	10,000	
LaSalle D. Leffall, Jr., M.D. Surgical Society Foundation Washington, D.C.		15,000	15,000	

The Charles A. Dana Foundation
Summary of "Other" Appropriations and Payments in 2013 (All are public charities, and all are for general support, except * [equivalency determination made])

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Library of America New York, NY		10,000	10,000	
Light of Healing Hope Foundation Washington, D.C.		1,000	1,000	
Lincoln Center Theater New York, NY		6,000	6,000	
The Lymphoma Foundation New York, NY		5,000	5,000	
Martha Graham Center of Contemporary Dance New York, NY		5,000	5,000	
Massachusetts General Hospital Boston, MA		15,000	15,000	
M.D. Anderson Cancer Center Houston, TX		10,000	10,000	
Medical University of South Carolina, Children's Hospital Fund Charleston, SC		25,000	25,000	
Metropolitan Opera Assocation New York, NY		10,000	10,000	
Middle East Investment Initiative (MEII) Washington, DC		25,000	25,000	

The Charles A. Dana Foundation
Summary of "Other" Appropriations and Payments in 2013 (All are public charities, and all are for general support, except * [equivalency determination made])

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Middleton Place Foundation Charleston, SC		50,000	50,000	
Morehouse College Atlanta, GA		5,000	5,000	
Museum of Modern Art New York, NY		5,000	5,000	
National Gallery of Art Washington, DC		20,000	20,000	
National Center on Addiction and Substance Abuse at Columbia University New York, NY		50,000	50,000	
National Museum of African American History and Culture Washington, DC		15,000	15,000	
New York Historical Society New York, NY		10,000	10,000	
New York Landmarks Conservancy New York, NY		5,000	5,000	
New York Philharmonic New York, NY		10,000	10,000	
New York Stem Cell Foundation New York, NY		5,000	5,000	
Northside Center for Child Development, Inc. New York, NY		5,000	5,000	

The Charles A. Dana Foundation
Summary of "Other" Appropriations and Payments in 2013 (All are public charities, and all are for general support, except * [equivalency determination made])

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Norwalk Grassroots Tennis, Inc. Norwalk, CT		5,000	5,000	
Oliver Hazard Perry Rhode Island Newport, RI		35,000	35,000	
Palm Beach Civic Association Palm Beach, FL		6,000	6,000	
Paley Center for Media New York, NY		5,000	5,000	
Par 3 Foundation, Inc. Palm Beach, Fl		8,000	8,000	
Pardee Rand Graduate School Santa Monica, CA		45,000	45,000	
The Perlman Music Program New York, NY		5,000	5,000	
Preservation Foundation of Palm Beach, Inc. Palm Beach, FL		10,000	10,000	
Preserve Rhode Island Providence, RI		15,000	15,000	
Raymond K. Kravis Center for Performing Arts West Palm Beach, FL		5,000	5,000	

The Charles A. Dana Foundation

Summary of "Other" Appropriations and Payments in 2013 (All are public charities, and all are for general support, except * [equivalency determination made])

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Roaring Fork Conservancy Basalt, CO		20,000	20,000	
Rockefeller University New York, NY		5,000	5,000	
Ronald Reagan Presidential Foundation Simi Valley, CA		10,000	10,000	
Rosemont College Rosemont, PA		10,000	10,000	
Roxbury Latin School West Roxbury, MA		25,000	25,000	
SEED Foundation Washington, D.C.		5,000	5,000	
Skidmore College Saratoga Springs, NY		10,000	10,000	
Society of the Four Arts Palm Beach, FL		25,000	25,000	
Southampton Hospital Southampton, NY		5,000	5,000	
Southern Poverty Law Center Montgomery, AL		10,000	10,000	

The Charles A. Dana Foundation
Summary of "Other" Appropriations and Payments in 2013 (All are public charities, and all are for general support, except * [equivalency determination made])

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
St. John's Church Washington, D.C.		10,000	10,000	
St. Luke Institute Silver Spring, MD		5,000	5,000	
St. Thomas Choir School New York, NY		25,000	25,000	
St. Thomas More Play Group New York, NY		5,000	5,000	
The Susan G. Komen Breast Cancer Foundation Dallas, TX		10,000	10,000	
Syracuse University, Newhouse School of Communications Syracuse, NY		45,000	45,000	
The Aspen Institute Washington, DC		10,000	10,000	
The Brearley School New York, NY		35,000	35,000	
The Council on Foreign Relations New York, NY		20,000	20,000	
The Reading Team, Inc. New York, NY		200,000	200,000	
The Winsor School Boston, MA		50,000	50,000	

The Charles A. Dana Foundation

Summary of "Other" Appropriations and Payments in 2013 (All are public charities, and all are for general support, except * [equivalency determination made])

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
United Friends of the Children Los Angeles, CA		5,000	5,000	
United Jewish Association/Federation of Jewish Philanthropies New York, NY		25,000	25,000	
University of Virginia Charlottesville, VA		10,000	10,000	
University of Virginia School of Law Charlottesville, VA		25,000	25,000	
Urban Glass Brooklyn, NY		10,000	10,000	
Washington National Cathedral Washington, D.C.		10,000	10,000	
Weill Cornell University Medical College New York, NY (Siegel)		5,000	5,000	
WETA Arlington, VA		5,000	5,000	
William Appling Singers and Orchestra, Inc. Poughkeepsie, NY		5,000	5,000	
World Wildlife Fund Washington, D.C.		15,000	15,000	
Wyly Community Art Center Basalt, CO		5,000	5,000	

The Charles A. Dana Foundation

Summary of "Other" Appropriations and Payments in 2013 (All are public charities, and all are for general support, except * [equivalency determination made])

	Unpaid at Beginning of Year	Appropriated During Year	Paid During Year	Unpaid at End of Year
Year Up Boston, MA		15,000	15,000	
Total Other Grants	**$0.00**	**$2,029,000.00**	**$2,029,000.00**	**$0.00**

The Charles A. Dana Foundation , Incorporated
2013 Index for List of Attachments
EIN 06-6036761

Form	Description:
8868	Approved Extension Letter
2220	Underpayment of Estimated Tax By Corporation
8886	Reportable Disclosure Transaction Statement

Schedule/ Statement Number	Statement Description:	Part	Line Number
1	Other Income	I	11
2	Legal Fees	I	16a
3	Accounting Fees	I	16b
4	Other Fees	I	16c
5	Depreciation	I	19
6	Other Expenses	I	23
7	Investment Summary	II	10
7A	Investment Holdings Summary- First Republic Bank Custodian	II	-
8	Investments-Other	II	13
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