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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](http://www.irs.gov/form990pf).

OMB No 1545-0052

**2013**

Open to Public Inspection

For calendar year 2013 or tax year beginning , 2013, and ending , 20

|                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                             |                                                                                                                                                                              |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Name of foundation THE J.M. KAPLAN FUND, INC.<br>C/O CONDON O'MEARA MCGINTY & DONNELLY                                                                                                                                                           |                                                                                                                                                                                                                                                                             | A Employer identification number<br>13-6090286                                                                                                                               |
| Number and street (or P O box number if mail is not delivered to street address)<br>ONE BATTERY PARK PLAZA<br>7TH FLOOR                                                                                                                          |                                                                                                                                                                                                                                                                             | B Telephone number (see instructions)<br>(212) 661-7777                                                                                                                      |
| City or town, state or province, country, and ZIP or foreign postal code<br>NEW YORK, NY 10004-1405                                                                                                                                              |                                                                                                                                                                                                                                                                             | C If exemption application is pending, check here <input type="checkbox"/>                                                                                                   |
| G Check all that apply:                                                                                                                                                                                                                          | Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/><br>Final return <input type="checkbox"/> Amended return <input type="checkbox"/><br>Address change <input type="checkbox"/> Name change <input type="checkbox"/> | D 1. Foreign organizations, check here <input type="checkbox"/><br>2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> |
| H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation<br><input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation |                                                                                                                                                                                                                                                                             | E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>                                                                |
| I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 144,591,135.                                                                                                                                                |                                                                                                                                                                                                                                                                             | F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>                                                             |
| J Accounting method <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual<br><input type="checkbox"/> Other (specify) _____<br>(Part I, column (d) must be on cash basis)                                                    |                                                                                                                                                                                                                                                                             |                                                                                                                                                                              |

| Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions)) |                                                                                  | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|------------------------------------|---------------------------|-------------------------|-------------------------------------------------------------|
| 1                                                                                                                                                                  | Contributions, gifts, grants, etc., received (attach schedule)                   |                                    |                           |                         |                                                             |
| 2                                                                                                                                                                  | Check <input type="checkbox"/> if the foundation is not required to attach Sch B |                                    |                           |                         |                                                             |
| 3                                                                                                                                                                  | Interest on savings and temporary cash investments                               | 249.                               | 249.                      |                         | ATCH 1                                                      |
| 4                                                                                                                                                                  | Dividends and interest from securities                                           | 181,119.                           | 2,503,225.                |                         | ATCH 2                                                      |
| 5a                                                                                                                                                                 | Gross rents                                                                      |                                    |                           |                         |                                                             |
| b                                                                                                                                                                  | Net rental income or (loss)                                                      |                                    |                           |                         |                                                             |
| 6a                                                                                                                                                                 | Net gain or (loss) from sale of assets not on line 10                            | 2,062,863.                         |                           |                         |                                                             |
| b                                                                                                                                                                  | Gross sales price for all assets on line 6a                                      | 13,820,835.                        |                           |                         |                                                             |
| 7                                                                                                                                                                  | Capital gain net income (from Part IV, line 2)                                   |                                    | 7,594,886.                |                         |                                                             |
| 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) ATCH 3                                            | 7,974,289.                         | 337,943.                  |                         |                                                             |
| 12                                                                                                                                                                 | Total. Add lines 1 through 11                                                    | 10,218,520.                        | 10,436,303.               |                         |                                                             |
| 13                                                                                                                                                                 | Compensation of officers, directors, trustees, etc                               | 80,000.                            |                           |                         | 80,000.                                                     |
| 14                                                                                                                                                                 | Other employee salaries and wages                                                | 281,254.                           | 58,843.                   |                         | 240,566.                                                    |
| 15                                                                                                                                                                 | Pension plans, employee benefits                                                 | 88,060.                            | 27,050.                   |                         | 55,516.                                                     |
| 16a                                                                                                                                                                | Legal fees (attach schedule) ATCH 4                                              | 1,380.                             |                           |                         | 2,760.                                                      |
| b                                                                                                                                                                  | Accounting fees (attach schedule) ATCH 5                                         | 32,095.                            | 19,257.                   |                         | 7,218.                                                      |
| c                                                                                                                                                                  | Other professional fees (attach schedule)                                        | 947,439.                           | 525,195.                  |                         | 422,880.                                                    |
| 17                                                                                                                                                                 | Interest ATCH 7                                                                  |                                    | 137,244.                  |                         |                                                             |
| 18                                                                                                                                                                 | Taxes (attach schedule) (see instructions) ATCH 8                                | 238,059.                           | 64,256.                   |                         | 17,420.                                                     |
| 19                                                                                                                                                                 | Depreciation (attach schedule) and depletion                                     |                                    |                           |                         |                                                             |
| 20                                                                                                                                                                 | Occupancy                                                                        | 295,461.                           | 29,546.                   |                         | 265,915.                                                    |
| 21                                                                                                                                                                 | Travel, conferences, and meetings                                                | 70,018.                            | 6,643.                    |                         | 63,000.                                                     |
| 22                                                                                                                                                                 | Printing and publications                                                        | 3,288.                             | 658.                      |                         | 2,630.                                                      |
| 23                                                                                                                                                                 | Other expenses (attach schedule) ATCH 9                                          | 67,957.                            | 1,580,522.                |                         | 49,740.                                                     |
| 24                                                                                                                                                                 | Total operating and administrative expenses. Add lines 13 through 23             | 2,105,011.                         | 2,449,214.                |                         | 1,207,645.                                                  |
| 25                                                                                                                                                                 | Contributions, gifts, grants paid                                                | 5,224,320.                         |                           |                         | 6,016,020.                                                  |
| 26                                                                                                                                                                 | Total expenses and disbursements. Add lines 24 and 25                            | 7,329,331.                         | 2,449,214.                | 0                       | 7,223,665.                                                  |
| 27                                                                                                                                                                 | Subtract line 26 from line 12                                                    |                                    |                           |                         |                                                             |
| a                                                                                                                                                                  | Excess of revenue over expenses and disbursements                                | 2,889,189.                         |                           |                         |                                                             |
| b                                                                                                                                                                  | Net investment income (if negative, enter -0-)                                   |                                    | 7,987,089.                |                         |                                                             |
| c                                                                                                                                                                  | Adjusted net income (if negative, enter -0-)                                     |                                    |                           |                         |                                                             |

**Part II Balance Sheets**

Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)

|                                    |                                                                                                                                  | Beginning of year | End of year    |                       |
|------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|-------------------|----------------|-----------------------|
|                                    |                                                                                                                                  | (a) Book Value    | (b) Book Value | (c) Fair Market Value |
| <b>Assets</b>                      | 1 Cash - non-interest-bearing                                                                                                    | 500.              | 500.           | 500.                  |
|                                    | 2 Savings and temporary cash investments                                                                                         | 11,932,302.       | 11,290,473.    | 11,290,473.           |
|                                    | 3 Accounts receivable <b>7,510,028.</b>                                                                                          |                   |                |                       |
|                                    | Less allowance for doubtful accounts                                                                                             | 9,061,201.        | 7,510,028.     | 7,510,028.            |
|                                    | 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) *                                                                           |                   | 280,905.       |                       |
|                                    | Less allowance for doubtful accounts                                                                                             | 296,677.          | 280,905.       | 280,905.              |
|                                    | 8 Inventories for sale or use                                                                                                    |                   |                |                       |
|                                    | 9 Prepaid expenses and deferred charges <b>ATCH 10</b>                                                                           | 6,448.            | 71,139.        | 71,139.               |
|                                    | 10 a Investments - U.S. and state government obligations (attach schedule) *                                                     | 5,080,410.        | 3,117,165.     | 3,117,165.            |
|                                    | b Investments - corporate stock (attach schedule) <b>ATCH 12</b>                                                                 | 10,847,062.       | 10,002,412.    | 10,002,412.           |
|                                    | c Investments - corporate bonds (attach schedule) <b>ATCH 13</b>                                                                 | 1,247,089.        | 1,618,069.     | 1,618,069.            |
|                                    | 11 Investments - land, buildings, and equipment basis <b>Less accumulated depreciation (attach schedule)</b>                     |                   |                |                       |
| <b>Liabilities</b>                 | 12 Investments - mortgage loans                                                                                                  |                   |                |                       |
|                                    | 13 Investments - other (attach schedule) <b>ATCH 14</b>                                                                          | 95,781,589.       | 110,639,441.   | 110,639,441.          |
|                                    | 14 Land, buildings, and equipment basis <b>Less accumulated depreciation (attach schedule)</b>                                   | 3,503.            | 3,503.         | 3,503.                |
|                                    | 15 Other assets (describe <b>ATCH 15</b> )                                                                                       | 57,500.           | 57,500.        | 57,500.               |
|                                    | 16 <b>Total assets</b> (to be completed by all filers - see the instructions. Also, see page 1, item I)                          | 134,314,281.      | 144,591,135.   | 144,591,135.          |
|                                    | 17 Accounts payable and accrued expenses                                                                                         | 147,769.          | 110,646.       |                       |
|                                    | 18 Grants payable                                                                                                                | 2,238,349.        | 1,327,799.     |                       |
| <b>Net Assets or Fund Balances</b> | 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 <b>ATCH 16</b> )                                                                                  | 107,250.          | 50,000.        |                       |
|                                    | 23 <b>Total liabilities</b> (add lines 17 through 22)                                                                            | 2,493,368.        | 1,488,445.     |                       |
|                                    | <b>Foundations that follow SFAS 117, check here</b> <input type="checkbox"/>                                                     |                   |                |                       |
|                                    | <b>and complete lines 24 through 26 and lines 30 and 31.</b>                                                                     |                   |                |                       |
| <b>Net Assets or Fund Balances</b> | 24 Unrestricted                                                                                                                  |                   |                |                       |
|                                    | 25 Temporarily restricted                                                                                                        |                   |                |                       |
|                                    | 26 Permanently restricted                                                                                                        |                   |                |                       |
|                                    | <b>Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.</b> <input checked="" type="checkbox"/> |                   |                |                       |
|                                    | 27 Capital stock, trust principal, or current funds                                                                              | 18,370,506.       | 18,370,506.    |                       |
|                                    | 28 Paid-in or capital surplus, or land, bldg, and equipment fund                                                                 |                   |                |                       |
|                                    | 29 Retained earnings, accumulated income, endowment, or other funds                                                              | 113,450,407.      | 124,732,184.   |                       |
| <b>Net Assets or Fund Balances</b> | 30 <b>Total net assets or fund balances</b> (see instructions)                                                                   | 131,820,913.      | 143,102,690.   |                       |
|                                    | 31 <b>Total liabilities and net assets/fund balances</b> (see instructions)                                                      | 134,314,281.      | 144,591,135.   |                       |

**Part III Analysis of Changes in Net Assets or Fund Balances**

|                                                                                                                                                              |   |              |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|---|--------------|
| 1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 131,820,913. |
| 2 Enter amount from Part I, line 27a                                                                                                                         | 2 | 2,889,189.   |
| 3 Other increases not included in line 2 (itemize) <b>ATCH 17</b>                                                                                            | 3 | 8,392,588.   |
| 4 Add lines 1, 2, and 3                                                                                                                                      | 4 | 143,102,690. |
| 5 Decreases not included in line 2 (itemize)                                                                                                                 | 5 |              |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30                                                      | 6 | 143,102,690. |

\*\*ATCH 11

Form 990-PF (2013)

**Part IV Capital Gains and Losses for Tax on Investment Income**(a) List and describe the kind(s) of property sold (e.g., real estate,  
2-story brick warehouse, or common stock, 200 shs MLC Co.)(b) How  
acquired  
P - Purchase  
D - Donation(c) Date  
acquired  
(mo., day, yr.)(d) Date sold  
(mo., day, yr.)**1a** SEE PART IV SCHEDULE**b****c****d****e**

(e) Gross sales price

(f) Depreciation allowed  
(or allowable)(g) Cost or other basis  
plus expense of sale(h) Gain or (loss)  
(e) plus (f) minus (g)**a****b****c****d****e**

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

(i) Gains (Col. (h) gain minus  
col. (k), but not less than -0-) or  
Losses (from col. (h))

(i) F M V as of 12/31/69

(j) Adjusted basis  
as of 12/31/69(k) Excess of col. (i)  
over col. (j), if any**a****b****c****d****e****2** Capital gain net income or (net capital loss){ If gain, also enter in Part I, line 7  
If (loss), enter -0- in Part I, line 7 }**2**

7,594,886.

**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)<br>Base period years<br>Calendar year (or tax year beginning in) | (b)<br>Adjusted qualifying distributions | (c)<br>Net value of noncharitable-use assets | (d)<br>Distribution ratio<br>(col. (b) divided by col. (c)) |
|----------------------------------------------------------------------|------------------------------------------|----------------------------------------------|-------------------------------------------------------------|
| 2012                                                                 | 7,873,165.                               | 132,036,889.                                 | 0.059629                                                    |
| 2011                                                                 | 9,843,828.                               | 134,793,179.                                 | 0.073029                                                    |
| 2010                                                                 | 8,592,741.                               | 130,964,884.                                 | 0.065611                                                    |
| 2009                                                                 | 11,498,922.                              | 122,925,341.                                 | 0.093544                                                    |
| 2008                                                                 | 8,639,921.                               | 155,764,247.                                 | 0.055468                                                    |

**2** Total of line 1, column (d)**2**

0.347281

**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**

0.069456

**4** Enter the net value of noncharitable-use assets for 2013 from Part X, line 5**4**

136,544,350.

**5** Multiply line 4 by line 3**5**

9,483,824.

**6** Enter 1% of net investment income (1% of Part I, line 27b)**6**

79,871.

**7** Add lines 5 and 6**7**

9,563,695.

**8** Enter qualifying distributions from Part XII, line 4**8**

7,223,665.

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

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

|                                                                                                                                                                                                                                        |             |    |          |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|----|----------|
| 1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1<br>Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions) |             | 1  | 159,742. |
| b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b                                                                                      |             |    |          |
| c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)                                                                                                               |             |    |          |
| 2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                            |             | 2  |          |
| 3 Add lines 1 and 2                                                                                                                                                                                                                    |             | 3  | 159,742. |
| 4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                          |             | 4  | 0        |
| 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-                                                                                                                                              |             | 5  | 159,742. |
| 6 Credits/Payments                                                                                                                                                                                                                     |             |    |          |
| a 2013 estimated tax payments and 2012 overpayment credited to 2013                                                                                                                                                                    | 6a 335,000. |    |          |
| b Exempt foreign organizations - tax withheld at source                                                                                                                                                                                | 6b          |    |          |
| c Tax paid with application for extension of time to file (Form 8868)                                                                                                                                                                  | 6c 100,000. |    |          |
| d Backup withholding erroneously withheld                                                                                                                                                                                              | 6d          |    |          |
| 7 Total credits and payments. Add lines 6a through 6d                                                                                                                                                                                  |             | 7  | 435,000. |
| 8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached                                                                                                                    |             | 8  |          |
| 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed                                                                                                                                                        |             | 9  |          |
| 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid                                                                                                                                           |             | 10 | 275,258. |
| 11 Enter the amount of line 10 to be Credited to 2014 estimated tax 150,000. Refunded                                                                                                                                                  |             | 11 | 122,416. |

**Part VII-A Statements Regarding Activities**

|                                                                                                                                                                                                                                                                                                                                              | Yes | No |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?                                                                                                                                                                      |     | X  |
| b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?<br>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities |     | X  |
| c Did the foundation file Form 1120-POL for this year?                                                                                                                                                                                                                                                                                       |     | X  |
| d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year:<br>(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?<br>If "Yes," attach a detailed description of the activities.                                                                                                                                                                              |     | X  |
| 3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes                                                                                                                 |     | X  |
| 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?                                                                                                                                                                                                                                               | X   |    |
| b If "Yes," has it filed a tax return on Form 990-T for this year?                                                                                                                                                                                                                                                                           | X   |    |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>If "Yes," attach the statement required by General Instruction T.                                                                                                                                                                        |     | X  |
| 6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either:<br>• By language in the governing instrument, or<br>• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?         | X   |    |
| 7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV                                                                                                                                                                                                           | X   |    |
| 8a Enter the states to which the foundation reports or with which it is registered (see instructions)<br>NY,                                                                                                                                                                                                                                 |     |    |
| b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation.                                                                                                                               | X   |    |
| 9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV.                                                                                      |     | X  |
| 10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses.                                                                                                                                                                                                       |     | X  |

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

|    |                                                                                                                                                                                                                                                                                                                                           |     |    |   |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).                                                                                                                                                  | 11  |    | X |
| 12 | Did the foundation 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?<br>Website address <b>WWW.JMKFUND.ORG</b>                                                                                                                                                                             | 13  | X  |   |
| 14 | The books are in care of <b>THE J.M. KAPLAN FUND</b> Telephone no <b>212-661-7777</b><br>Located at <b>ONE BATTERY PARK PLAZA, 7TH FLOOR NEW YORK, NY</b> ZIP+4 <b>10004-1405</b>                                                                                                                                                         |     |    |   |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <input type="checkbox"/><br>and enter the amount of tax-exempt interest received or accrued during the year <b>15</b>                                                                                                                 |     |    |   |
| 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?<br>See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country <b>16</b> | Yes | No |   |

**Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required****File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.**

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Yes | No |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1a During the year did the foundation (either directly or indirectly)                                                                                                                                                                                                                                                                                                                                                                                                                                                     |     |    |
| (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                                |     |    |
| (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                        |     |    |
| (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                            |     |    |
| (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                                  |     |    |
| (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                         |     |    |
| (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                       |     |    |
| b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? <input type="checkbox"/><br>Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/>                                                                                                                                                            | 1b  | X  |
| 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? <input type="checkbox"/>                                                                                                                                                                                                                                                                                                        | 1c  | X  |
| 2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))                                                                                                                                                                                                                                                                                                                                           |     |    |
| a At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br>If "Yes," list the years <b>2a</b>                                                                                                                                                                                                                                                             |     |    |
| b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions) <input type="checkbox"/><br>c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here <b>2b</b>                                                        |     |    |
| 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                         |     |    |
| b If "Yes," did it have excess business holdings in 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) <input type="checkbox"/> | 3b  |    |
| 4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                               | 4a  | X  |
| b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013? <input type="checkbox"/>                                                                                                                                                                                                                                                              | 4b  | X  |

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☒ Yes ☐ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? ☐ Yes ☒ No

Organizations relying on a current notice regarding disaster assistance check here ☒ **5b** ☒ X

**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☒ Yes ☐ No

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

**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? ☐ Yes ☒ No **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? ☐ Yes ☒ No **7b** ☐ Yes ☒ No

**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation (see instructions).

| (a) Name and address  | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|-----------------------|-----------------------------------------------------------|-------------------------------------------|-----------------------------------------------------------------------|---------------------------------------|
| SEE ATTACHED SCHEDULE |                                                           | 80,000.                                   | 0                                                                     | 0                                     |
|                       |                                                           |                                           |                                                                       |                                       |
|                       |                                                           |                                           |                                                                       |                                       |
|                       |                                                           |                                           |                                                                       |                                       |
|                       |                                                           |                                           |                                                                       |                                       |

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

| (a) Name and address of each employee paid more than \$50,000 | (b) Title, and average hours per week devoted to position | (c) Compensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---------------------------------------------------------------|-----------------------------------------------------------|------------------|-----------------------------------------------------------------------|---------------------------------------|
| ATCH 18                                                       |                                                           | 268,179.         | 107,085.                                                              | 0                                     |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |

Total number of other employees paid over \$50,000 ☐ 0

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

| (a) Name and address of each person paid more than \$50,000                        | (b) Type of service | (c) Compensation |
|------------------------------------------------------------------------------------|---------------------|------------------|
| ATCH 19                                                                            |                     | 638,468.         |
|                                                                                    |                     |                  |
|                                                                                    |                     |                  |
|                                                                                    |                     |                  |
|                                                                                    |                     |                  |
|                                                                                    |                     |                  |
| Total number of others receiving over \$50,000 for professional services . . . . . |                     | 0                |

**Part IX-A** Summary of Direct Charitable Activities

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

|                  | Expenses |
|------------------|----------|
| 1 NOT APPLICABLE |          |
| 2                |          |
| 3                |          |
| 4                |          |

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

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

|                                                        | Amount |
|--------------------------------------------------------|--------|
| 1                                                      |        |
| 2                                                      |        |
| All other program-related investments See instructions |        |
| 3 NONE                                                 |        |
| Total. Add lines 1 through 3 . . . . .                 |        |

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

|          |                                                                                                             |           |              |
|----------|-------------------------------------------------------------------------------------------------------------|-----------|--------------|
| <b>1</b> | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes  |           |              |
| <b>a</b> | Average monthly fair market value of securities                                                             | <b>1a</b> | 127,554,525. |
| <b>b</b> | Average of monthly cash balances                                                                            | <b>1b</b> | 8,854,150.   |
| <b>c</b> | Fair market value of all other assets (see instructions)                                                    | <b>1c</b> | 2,215,031.   |
| <b>d</b> | <b>Total</b> (add lines 1a, b, and c)                                                                       | <b>1d</b> | 138,623,706. |
| <b>e</b> | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)   | <b>1e</b> |              |
| <b>2</b> | Acquisition indebtedness applicable to line 1 assets                                                        | <b>2</b>  |              |
| <b>3</b> | Subtract line 2 from line 1d                                                                                | <b>3</b>  | 138,623,706. |
| <b>4</b> | Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)  | <b>4</b>  | 2,079,356.   |
| <b>5</b> | <b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4 | <b>5</b>  | 136,544,350. |
| <b>6</b> | <b>Minimum investment return.</b> Enter 5% of line 5                                                        | <b>6</b>  | 6,827,218.   |

**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.)

|           |                                                                                                            |           |            |
|-----------|------------------------------------------------------------------------------------------------------------|-----------|------------|
| <b>1</b>  | Minimum investment return from Part X, line 6                                                              | <b>1</b>  | 6,827,218. |
| <b>2a</b> | Tax on investment income for 2013 from Part VI, line 5                                                     | <b>2a</b> | 159,742.   |
| <b>b</b>  | Income tax for 2013 (This does not include the tax from Part VI)                                           | <b>2b</b> |            |
| <b>c</b>  | Add lines 2a and 2b                                                                                        | <b>2c</b> | 159,742.   |
| <b>3</b>  | Distributable amount before adjustments. Subtract line 2c from line 1                                      | <b>3</b>  | 6,667,476. |
| <b>4</b>  | Recoveries of amounts treated as qualifying distributions                                                  | <b>4</b>  | 118,850.   |
| <b>5</b>  | Add lines 3 and 4                                                                                          | <b>5</b>  | 6,786,326. |
| <b>6</b>  | Deduction from distributable amount (see instructions)                                                     | <b>6</b>  |            |
| <b>7</b>  | <b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1. | <b>7</b>  | 6,786,326. |

**Part XII Qualifying Distributions** (see instructions)

|          |                                                                                                                                                      |           |            |
|----------|------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|------------|
| <b>1</b> | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes                                                            |           |            |
| <b>a</b> | Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26                                                                        | <b>1a</b> | 7,223,665. |
| <b>b</b> | Program-related investments - total from Part IX-B                                                                                                   | <b>1b</b> |            |
| <b>2</b> | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes                                            | <b>2</b>  |            |
| <b>3</b> | Amounts set aside for specific charitable projects that satisfy the                                                                                  |           |            |
| <b>a</b> | Suitability test (prior IRS approval required)                                                                                                       | <b>3a</b> |            |
| <b>b</b> | Cash distribution test (attach the required schedule)                                                                                                | <b>3b</b> |            |
| <b>4</b> | <b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.                                   | <b>4</b>  | 7,223,665. |
| <b>5</b> | 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) | <b>5</b>  | 0          |
| <b>6</b> | <b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4.                                                                               | <b>6</b>  | 7,223,665. |

**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.

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**Part XIII Undistributed Income** (see instructions)

|                                                                                                                                                                            | (a)<br>Corpus | (b)<br>Years prior to 2012 | (c)<br>2012 | (d)<br>2013 |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2013 from Part XI, line 7                                                                                                                       |               |                            |             | 6,786,326.  |
| 2 Undistributed income, if any, as of the end of 2013                                                                                                                      |               |                            |             |             |
| a Enter amount for 2012 only                                                                                                                                               |               |                            |             |             |
| b Total for prior years 20 <u>11</u> , 20 <u>10</u> , 20 <u>09</u>                                                                                                         |               |                            |             |             |
| 3 Excess distributions carryover, if any, to 2013                                                                                                                          |               |                            |             |             |
| a From 2008                                                                                                                                                                | 1,005,969.    |                            |             |             |
| b From 2009                                                                                                                                                                | 5,399,427.    |                            |             |             |
| c From 2010                                                                                                                                                                | 2,030,366.    |                            |             |             |
| d From 2011                                                                                                                                                                | 3,383,845.    |                            |             |             |
| e From 2012                                                                                                                                                                | 1,582,772.    |                            |             |             |
| f Total of lines 3a through e                                                                                                                                              | 13,402,379.   |                            |             |             |
| 4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ <u>7,223,665.</u>                                                                                           |               |                            |             |             |
| 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                                                                                                                                     |               |                            |             | 6,786,326.  |
| e Remaining amount distributed out of corpus                                                                                                                               | 437,339.      |                            |             |             |
| 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:                                                                                                                   | 13,839,718.   |                            |             |             |
| a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5                                                                                                                        |               |                            |             |             |
| b Prior years' undistributed income. Subtract line 4b from line 2b                                                                                                         |               |                            |             |             |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed |               |                            |             |             |
| d Subtract line 6c from line 6b. Taxable amount - see instructions                                                                                                         |               |                            |             |             |
| e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instructions                                                                          |               |                            |             |             |
| f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014                                                              |               |                            |             |             |
| 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)                                                                              | 1,005,969.    |                            |             |             |
| 9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a                                                                                              | 12,833,749.   |                            |             |             |
| 10 Analysis of line 9                                                                                                                                                      |               |                            |             |             |
| a Excess from 2009                                                                                                                                                         | 5,399,427.    |                            |             |             |
| b Excess from 2010                                                                                                                                                         | 2,030,366.    |                            |             |             |
| c Excess from 2011                                                                                                                                                         | 3,383,845.    |                            |             |             |
| d Excess from 2012                                                                                                                                                         | 1,582,772.    |                            |             |             |
| e Excess from 2013                                                                                                                                                         | 437,339.      |                            |             |             |

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

NOT APPLICABLE

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

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

| Tax year | Prior 3 years |          |          | (e) Total |
|----------|---------------|----------|----------|-----------|
| (a) 2013 | (b) 2012      | (c) 2011 | (d) 2010 |           |
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**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) )

ATTACHMENT 20

**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:

ATCH 21

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

SEE STATEMENT ATTACHED

**c** Any submission deadlines:

AT DISCRETION OF THE PROGRAM OFFICER

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

BASED ON GIVING AND PROGRAM AREAS

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

| Recipient<br>Name and address (home or business)           | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution | Amount     |
|------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------|------------|
| <b>a</b> <i>Paid during the year</i><br><br>ATCH 22        |                                                                                                                    |                                      |                                     |            |
| <b>Total</b> .....                                         |                                                                                                                    |                                      | ▶ <b>3a</b>                         | 6,016,020. |
| <b>b</b> <i>Approved for future payment</i><br><br>ATCH 23 |                                                                                                                    |                                      |                                     |            |
| <b>Total</b> .....                                         |                                                                                                                    |                                      | ▶ <b>3b</b>                         | 1,327,800. |

## Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

| Enter gross amounts unless otherwise indicated |                                                              | Unrelated business income |               | Excluded by section 512, 513, or 514 |               | (e)                                                         |
|------------------------------------------------|--------------------------------------------------------------|---------------------------|---------------|--------------------------------------|---------------|-------------------------------------------------------------|
|                                                |                                                              | (a)<br>Business code      | (b)<br>Amount | (c)<br>Exclusion code                | (d)<br>Amount | Related or exempt<br>function income<br>(See instructions ) |
| 1                                              | Program service revenue                                      |                           |               |                                      |               |                                                             |
| a                                              | ATCH 23                                                      |                           |               |                                      | 3,127.        |                                                             |
| 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           |                           |               | 14                                   | 249.          |                                                             |
| 4                                              | Dividends and interest from securities . . . . .             |                           |               | 14                                   | 181,119.      |                                                             |
| 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                    | 210,961.      | 18                                   | 2,062,863.    |                                                             |
| 9                                              | Net income or (loss) from special events . . . . .           |                           |               |                                      |               |                                                             |
| 10                                             | Gross profit or (loss) from sales of inventory . . . . .     |                           |               |                                      |               |                                                             |
| 11                                             | Other revenue a                                              |                           |               |                                      |               |                                                             |
| b                                              | ATCH 24                                                      |                           | 107,829.      |                                      | 7,476,115.    | 176,257.                                                    |
| c                                              |                                                              |                           |               |                                      |               |                                                             |
| d                                              |                                                              |                           |               |                                      |               |                                                             |
| e                                              |                                                              |                           |               |                                      |               |                                                             |
| 12                                             | Subtotal. Add columns (b), (d), and (e) . . . . .            |                           | 318,790.      |                                      | 9,723,473.    | 176,257.                                                    |
| 13                                             | Total. Add line 12, columns (b), (d), and (e) . . . . .      |                           |               |                                      |               | 10,218,520.                                                 |

(See worksheet in line 13 instructions to verify calculations )

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

[illegible]



Application for Extension of Time To File an  
Exempt Organization Return

OMB No. 1545-1709

► File a separate application for each return.  
► Information about Form 8868 and its instructions is at [www.irs.gov/form8868](http://www.irs.gov/form8868).

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

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

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

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

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

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

|                                                                                     |                                                                                                                                      |                                                           |
|-------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|
| Type or print<br><br>File by the due date for filing your return. See instructions. | Name of exempt organization or other filer, see instructions.<br>THE J.M. KAPLAN FUND, INC.<br>C/O CONDON O'MEARA MCGINTY & DONNELLY | Employer identification number (EIN) or<br><br>13-6090286 |
|                                                                                     | Number, street, and room or suite no. If a P.O. box, see instructions.<br>ONE BATTERY PARK PLAZA                                     | Social security number (SSN)                              |
|                                                                                     | City, town or post office, state, and ZIP code. For a foreign address, see instructions.<br>NEW YORK, NY 10004-1405                  |                                                           |
|                                                                                     |                                                                                                                                      |                                                           |

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

| Application Is For                      | Return Code | Application Is For                | Return Code |
|-----------------------------------------|-------------|-----------------------------------|-------------|
| Form 990 or Form 990-EZ                 | 01          | Form 990-T (corporation)          | 07          |
| Form 990-BL                             | 02          | Form 1041-A                       | 08          |
| Form 4720 (individual)                  | 03          | Form 4720 (other than individual) | 09          |
| Form 990-PF                             | 04          | Form 5227                         | 10          |
| Form 990-T (sec 401(a) or 408(a) trust) | 05          | Form 6069                         | 11          |
| Form 990-T (trust other than above)     | 06          | Form 8870                         | 12          |

- The books are in the care of ► THE J.M. KAPLAN FUND

Telephone No. ► 212 661-7777

FAX No. ►

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

- 1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 08/15, 20 14, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
- ☒ calendar year 20 13 or
- ☐ tax year beginning \_\_\_\_\_, 20 \_\_\_\_\_, and ending \_\_\_\_\_, 20 \_\_\_\_\_.

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

|                                                                                                                                                                                       |       |          |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|----------|
| 3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.                                   | 3a \$ | 165,000. |
| b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit. | 3b \$ | 235,000. |
| c <b>Balance due.</b> Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.      | 3c \$ | 0        |

**Caution.** If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

For Privacy Act and Paperwork Reduction Act Notice, see instructions.

Form 8868 (Rev. 1-2014)

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

| Kind of Property                             |                                       | Description                                                             |                          |                                |                                    | P<br>or<br>D | Date<br>acquired     | Date sold |
|----------------------------------------------|---------------------------------------|-------------------------------------------------------------------------|--------------------------|--------------------------------|------------------------------------|--------------|----------------------|-----------|
| Gross sale<br>price less<br>expenses of sale | Depreciation<br>allowed/<br>allowable | Cost or<br>other<br>basis                                               | FMV<br>as of<br>12/31/69 | Adj basis<br>as of<br>12/31/69 | Excess of<br>FMV over<br>adj basis |              | Gain<br>or<br>(loss) |           |
| 9,153,184.                                   |                                       | MARKETABLE TRADED SECURITIES<br>PROPERTY TYPE: SECURITIES<br>9,057,390. |                          |                                |                                    | P            | 95,794.              |           |
|                                              |                                       | PARTNERSHIPS- SEE SCHEDULE ATTACHED<br>PROPERTY TYPE: OTHER             |                          |                                |                                    | P            | 7,188,728.           |           |
| 4,667,651.                                   |                                       | ADAMAS PARTNERS LP- LIQUIDATION<br>4,146,326.                           |                          |                                |                                    |              | 521,325.             |           |
|                                              |                                       | LESS: AMOUNT ATTRIBUTABLE TO UBI<br>PROPERTY TYPE: OTHER                |                          |                                |                                    | P            | -210,961.            |           |
| TOTAL GAIN(LOSS) .....                       |                                       |                                                                         |                          |                                |                                    |              | <u>7,594,886.</u>    |           |



The J.M. Kaplan Fund, Inc.  
990PF

31-Dec-13

|                                                                 | Cost                | Proceeds             | Gains/<br>Losses    | Per<br>Tax Return   |
|-----------------------------------------------------------------|---------------------|----------------------|---------------------|---------------------|
| Asia Capital Debt Investors                                     | \$ 168,475          | \$ 168,475           | \$ -                |                     |
| AACP Tax Exempt                                                 | \$ 48,150           | \$ 87,418            | \$ 39,268           |                     |
| Special Opportunity Fund                                        | \$ 660,504          | \$ 955,533           | \$ 295,029          |                     |
| Pimco- See Attached                                             | \$ 6,570,787        | \$ 6,504,244         | \$ (66,543)         |                     |
| Dover Street VI                                                 | \$ 208,587          | \$ 208,587           | \$ -                |                     |
| PFL                                                             | \$ 266,320          | \$ 266,320           |                     |                     |
| Chilton Global                                                  | \$ 986,650          | \$ 184,913           | \$ (801,737)        |                     |
| Brookside                                                       | \$ 147,917          | \$ 777,694           | \$ 629,777          |                     |
| <b>Marketable Traded Securities</b>                             | <b>\$ 9,057,390</b> | <b>\$ 9,153,184</b>  | <b>\$ 95,794</b>    |                     |
| Colchester Bond Fund-See attached                               | \$ 662,340          | \$ 1,054,894         | \$ 392,554          | *                   |
| Farallon Capital                                                | \$ -                | \$ 15,036            | \$ 15,036           | *                   |
| Spindrift-see attached                                          | \$ -                | \$ 76,495            | \$ 76,495           | *                   |
| Limited Partnership Gains                                       | \$ -                | \$ 1,482,984         | \$ 1,482,984        | *                   |
| <b>Limited Partnerships</b>                                     | <b>\$ 662,340</b>   | <b>\$ 2,629,409</b>  | <b>\$ 1,967,069</b> |                     |
|                                                                 | <b>\$ 9,719,730</b> | <b>\$ 11,782,593</b> | <b>\$ 2,062,863</b> | \$ 2,062,863        |
| Limited Partnerships Gains and Losses                           | \$ -                | \$ 7,188,728         | \$ 7,188,728        |                     |
|                                                                 | <b>\$ 9,719,730</b> | <b>\$ 18,971,321</b> | <b>\$ 9,251,591</b> | \$ 9,251,591        |
| Less Partnership gains shown on Books<br>Accounted for on K-1's | \$ -                |                      | \$ (1,967,069)      | \$ (1,967,069) *    |
|                                                                 |                     |                      | \$ -                |                     |
| Subtotal Gains for Tax Purposes                                 |                     |                      | <b>\$ 7,284,522</b> |                     |
| Gain on Limited Partnerships liquidated                         |                     |                      |                     | \$ 521,325          |
| Less: Gains from Partnerships subject<br>to UBIT                |                     |                      |                     | \$ (210,961)        |
| Total Gains for Tax Return                                      |                     |                      |                     | <b>\$ 7,594,886</b> |

The J.M. Kaplan Fund, Inc.  
990PF December 31, 2013  
EIN: 13-6090286  
Partnership Gains and Losses

|                                   |              |
|-----------------------------------|--------------|
| Adamas Opportunities 3yr          | \$ 396,507   |
| Adamas Partners 3yr               | \$ 661,898   |
| Avanti Strategic II-Passive       | \$ (10,777)  |
| Brandywine Global                 | \$ 1,511,436 |
| Brandywine Multi-Strat            | \$ 3,663,554 |
| Brandywine PE 2011                | \$ 6,994     |
| Brandywine PE 2012                | \$ 5,107     |
| Colchester Bond Fund              | \$ 42,913    |
| Dover Street IV                   | \$ (81,177)  |
| Dover Street V                    | \$ 63,041    |
| Farallon Capital                  | \$ (1,881)   |
| Keyhaven Capital                  | \$ 58,265    |
| Cyprium II                        | \$ (25,106)  |
| Cyprium III                       | \$ 15,674    |
| Metropolitan RE Global II         | \$ 126,191   |
| Metropolitan RE Partners IV       | \$ 10,798    |
| Metropolitan RE Partners Int'l II | \$ 16,094    |
| Metropolitan RE Partners V        | \$ 29,006    |
| Paul Capital VII(7.69%)           | \$ 61,861    |
| Paul Capital VIII                 | \$ 45,812    |
| Prosepct Harbor                   | \$ 13,045    |
| Special Opportunity Fund          | \$ 48,001    |
| TCV IV                            | \$ 13,305    |
| TCV V                             | \$ 122,591   |
| Varde Fund VIII                   | \$ (22,317)  |
| Varde Fund IX                     | \$ 122,534   |
| Venture Investment Assoc. IV      | \$ 56,045    |
| Venture Investment Assoc. V       | \$ 158,212   |
| Venture Inv. Assoc. VI            | \$ 81,102    |

|       |                            |
|-------|----------------------------|
| Total | <u><u>\$ 7,188,728</u></u> |
|-------|----------------------------|

ATTACHMENT 1FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

| <u>DESCRIPTION</u>        | <u>REVENUE<br/>AND<br/>EXPENSES<br/>PER BOOKS</u> | <u>NET<br/>INVESTMENT<br/>INCOME</u> |
|---------------------------|---------------------------------------------------|--------------------------------------|
| COMMUNITY CAPITAL BANK-CD | 249.                                              | 249.                                 |
| TOTAL                     | <u>249.</u>                                       | <u>249.</u>                          |

ATTACHMENT 2FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| <u>DESCRIPTION</u>             | <u>REVENUE<br/>AND<br/>EXPENSES<br/>PER BOOKS</u> | <u>NET<br/>INVESTMENT<br/>INCOME</u> |
|--------------------------------|---------------------------------------------------|--------------------------------------|
| INTEREST ON MONEY MARKET FUNDS | 150,232.                                          | 150,232.                             |
| INTEREST ON NOTES RECEIVABLE   | 30,887.                                           | 30,887.                              |
| INTEREST AND DIVIDENDS ON L.P. |                                                   | 2,322,106.                           |
| TOTAL                          | <u>181,119.</u>                                   | <u>2,503,225.</u>                    |

ATTACHMENT 3

FORM 990PF, PART I - OTHER INCOME

| DESCRIPTION                           | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS | NET<br>INVESTMENT<br>INCOME |
|---------------------------------------|-----------------------------------------|-----------------------------|
| OTHER PARTNERSHIP INCOME (LOSS)       |                                         |                             |
| LESS: AMOUNT ATTRIBUTABLE TO UBI LOSS |                                         |                             |
| OTHER INCOME                          | 7,794,906.                              | 442,646.                    |
| PRI INCOME                            | 526.                                    | -107,829.                   |
| RETURNED GRANTS                       | 2,600.                                  | 526.                        |
| TAX REFUND                            | 118,850.                                | 2,600.                      |
|                                       | 57,407.                                 |                             |
| TOTALS                                | <u>7,974,289.</u>                       | <u>337,943.</u>             |

ATTACHMENT 4FORM 990PF, PART I - LEGAL FEES

| <u>DESCRIPTION</u>             | <u>REVENUE<br/>AND<br/>EXPENSES<br/>PER BOOKS</u> | <u>NET<br/>INVESTMENT<br/>INCOME</u> | <u>ADJUSTED<br/>NET<br/>INCOME</u> | <u>CHARITABLE<br/>PURPOSES</u> |
|--------------------------------|---------------------------------------------------|--------------------------------------|------------------------------------|--------------------------------|
| PROSKAUER ROSE-GENERAL COUNSEL | 1,380.                                            |                                      |                                    | 2,760.                         |
| TOTALS                         | <u>1,380.</u>                                     |                                      |                                    | <u>2,760.</u>                  |

ATTACHMENT 5FORM 990PF, PART I - ACCOUNTING FEES

| <u>DESCRIPTION</u>                                       | <u>REVENUE<br/>AND<br/>EXPENSES<br/>PER BOOKS</u> | <u>NET<br/>INVESTMENT<br/>INCOME</u> | <u>ADJUSTED<br/>NET<br/>INCOME</u> | <u>CHARITABLE<br/>PURPOSES</u> |
|----------------------------------------------------------|---------------------------------------------------|--------------------------------------|------------------------------------|--------------------------------|
| CONDON O'MEARA MCGINTY &<br>DONNELLY-AUDIT & TAX SERVICE | 32,095.                                           | 19,257.                              |                                    | 7,218.                         |
| TOTALS                                                   | <u>32,095.</u>                                    | <u>19,257.</u>                       |                                    | <u>7,218.</u>                  |

ATTACHMENT 6

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

| <u>DESCRIPTION</u>             | <u>REVENUE<br/>AND<br/>EXPENSES<br/>PER BOOKS</u> | <u>NET<br/>INVESTMENT<br/>INCOME</u> | <u>CHARITABLE<br/>PURPOSES</u> |
|--------------------------------|---------------------------------------------------|--------------------------------------|--------------------------------|
| CONSULTANT FEES AND STIPENDS   |                                                   |                                      |                                |
| BRANDYWINE MANAGEMENT COMPANY- | 422,244.                                          |                                      | 422,880.                       |
| ADVISORY FEES                  | 524,915.                                          | 524,915.                             |                                |
| BANK OF NEW YORK-CUSTODIAL FEE | 280.                                              | 280.                                 |                                |
| TOTALS                         | <u>947,439.</u>                                   | <u>525,195.</u>                      | <u>422,880.</u>                |



ATTACHMENT 7

FORM 990PF, PART I - INTEREST EXPENSE

| <u>DESCRIPTION</u>             | <u>REVENUE<br/>AND<br/>EXPENSES<br/>PER BOOKS</u> | <u>NET<br/>INVESTMENT<br/>INCOME</u> |
|--------------------------------|---------------------------------------------------|--------------------------------------|
| INTEREST EXPENSE THRU PARTNERS |                                                   | 514,950.                             |
| LESS:AMOUNT ALLOCATED TO UBI   |                                                   | -377,706.                            |
| TOTALS                         |                                                   | <u>137,244.</u>                      |

ATTACHMENT 8FORM 990PF, PART I - TAXES

| <u>DESCRIPTION</u>           | <u>REVENUE<br/>AND<br/>EXPENSES<br/>PER BOOKS</u> | <u>NET<br/>INVESTMENT<br/>INCOME</u> | <u>CHARITABLE<br/>PURPOSES</u> |
|------------------------------|---------------------------------------------------|--------------------------------------|--------------------------------|
| PAYROLL TAXES                | 21,851.                                           | 4,431.                               | 17,420.                        |
| STATE TAXES ON U.B.I.        | 250.                                              |                                      |                                |
| DEFERRED EXCISE TAXES        | 38,000.                                           |                                      |                                |
| LESS:AMOUNT ALLOCATED TO UBI |                                                   |                                      |                                |
| FEDERAL EXCISE TAXES         | 172,958.                                          |                                      |                                |
| FOREIGN WITHHOLDING-L.P.'S   |                                                   | 59,825.                              |                                |
| FEDERAL UBI TAX              | 5,000.                                            |                                      |                                |
| TOTALS                       | <u>238,059.</u>                                   | <u>64,256.</u>                       | <u>17,420.</u>                 |

ATTACHMENT 9FORM 990PF, PART I - OTHER EXPENSES

| DESCRIPTION                    | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS | NET<br>INVESTMENT<br>INCOME | CHARITABLE<br>PURPOSES |
|--------------------------------|-----------------------------------------|-----------------------------|------------------------|
| INSURANCE                      | 21,857.                                 | 6,557.                      | 15,361.                |
| TELEPHONE                      | 12,090.                                 | 3,627.                      | 8,283.                 |
| SUPPLIES                       | 3,984.                                  | 1,195.                      | 4,132.                 |
| REPAIRS AND MAINTENANCE        | 13,371.                                 | 4,011.                      | 9,240.                 |
| FILING FEES                    | 1,500.                                  |                             | 1,500.                 |
| MISCELLANEOUS                  | 15,155.                                 | 3,497.                      | 11,224.                |
| LIMITED PARTNERSHIP DEDUCTIONS |                                         | 1,583,799.                  |                        |
| LESS:AMOUNT ALLOCATED TO UBI   |                                         | -22,164.                    |                        |
| TOTALS                         | <u>67,957.</u>                          | <u>1,580,522.</u>           | <u>49,740.</u>         |

ATTACHMENT 10

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

| <u>DESCRIPTION</u>         | <u>ENDING<br/>BOOK VALUE</u> | <u>ENDING<br/>FMV</u> |
|----------------------------|------------------------------|-----------------------|
| PREPAID EXPENSES           | 6,389.                       | 6,389.                |
| PREPAID FEDERAL EXCISE TAX | 64,750.                      | 64,750.               |
| TOTALS                     | <u>71,139.</u>               | <u>71,139.</u>        |

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

| <u>DESCRIPTION</u>   | <u>ATTACHMENT 11</u>         |                       |
|----------------------|------------------------------|-----------------------|
|                      | <u>ENDING<br/>BOOK VALUE</u> | <u>ENDING<br/>FMV</u> |
| PIMCO                | 3,117,165.                   | 3,117,165.            |
| US OBLIGATIONS TOTAL | <u>3,117,165.</u>            | <u>3,117,165.</u>     |

FORM 990PF, PART II - CORPORATE STOCK

ATTACHMENT 12

| <u>DESCRIPTION</u>    | <u>ENDING<br/>BOOK VALUE</u> | <u>ENDING<br/>FMV</u> |
|-----------------------|------------------------------|-----------------------|
| SEE ATTACHED SCHEDULE | 10,002,412.                  | 10,002,412.           |
| TOTALS                | <u>10,002,412.</u>           | <u>10,002,412.</u>    |

**The J.M. Kaplan Fund, Inc.**  
**Investments- Corporate Stock**  
**990PF- Part II Line 10B**  
**EIN : 13-6090286**

|                                   | <b>Cost<br/>Value</b> | <b>Market<br/>Value</b> |
|-----------------------------------|-----------------------|-------------------------|
| Sun Capital                       | \$ 2,232,070          | \$ 1,071,638            |
| Brookside Cayman                  | \$ 316,419            | \$ 1,373,951            |
| Special Opportunities Fund        | \$ 1,668,490          | \$ 2,212,738            |
| Dover Street VI                   | \$ 730,355            | \$ 1,220,650            |
| Spindrift A Class Series 1        | \$ -                  | \$ 264,213              |
| Asia Capital Debt Investors       | \$ 1,141,178          | \$ 2,062,750            |
| Asia Capital Tax Exempt Investors | \$ 1,137,853          | \$ 1,796,472            |
|                                   | <u>\$ 7,226,365</u>   | <u>\$ 10,002,412</u>    |

ATTACHMENT 13FORM 990PF, PART II - CORPORATE BONDS

| <u>DESCRIPTION</u>           | <u>ENDING<br/>BOOK VALUE</u> | <u>ENDING<br/>FMV</u> |
|------------------------------|------------------------------|-----------------------|
| PHILADELPHIA FIN.- AVENTI VI | 1,618,069.                   | 1,618,069.            |
| TOTALS                       | <u>1,618,069.</u>            | <u>1,618,069.</u>     |



ATTACHMENT 14FORM 990PF, PART II - OTHER INVESTMENTS

| <u>DESCRIPTION</u>             | <u>ENDING<br/>BOOK VALUE</u> | <u>ENDING<br/>FMV</u> |
|--------------------------------|------------------------------|-----------------------|
| EQUITY IN LIMITED PARTNERSHIPS | 110,379,441.                 | 110,379,441.          |
| PROGRAM RELATED INVESTMENTS    | 260,000.                     | 260,000.              |
| TOTALS                         | <u>110,639,441.</u>          | <u>110,639,441.</u>   |

FORM 990PF, PART II - OTHER ASSETS

ATTACHMENT 15

| <u>DESCRIPTION</u> | <u>ENDING<br/>BOOK VALUE</u> | <u>ENDING<br/>FMV</u> |
|--------------------|------------------------------|-----------------------|
| ART WORK           | 57,500.                      | 57,500.               |
| TOTALS             | <u>57,500.</u>               | <u>57,500.</u>        |

ATTACHMENT 16FORM 990PF, PART II - OTHER LIABILITIESDESCRIPTIONENDING  
BOOK VALUE

DEFERRED TAXES

50,000.

TOTALS

50,000.

ATTACHMENT 17FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCESDESCRIPTIONAMOUNT

|                                         |            |
|-----------------------------------------|------------|
| UNREALIZED GAIN FROM INVESTMENTS & L.P. | 8,392,588. |
|-----------------------------------------|------------|

|       |                   |
|-------|-------------------|
| TOTAL | <u>8,392,588.</u> |
|-------|-------------------|

**The J.M. Kaplan Fund, Inc.**  
**EIn: 13-6090286**  
**Attachment to the 2013 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

---

- (1) Grantee: Saint-Gaudens Memorial**  
**34 South Highland Avenue**  
**Ossining, NY 10562**
- (2) Amount and Date Paid: \$10,000 paid on April 23, 2013**
- (3) Total paid: \$10,000**
- (4) Purpose of Grant: To support exhibitions and concert series at the Memorial.**
- (5) Amount of Grant Spent by Grantee: \$10,000**
- (6) Diversion: To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.**
- (7) Date of Report Received from Grantee: May 2013**
- (8) The J.M. Kaplan Fund, Inc. reviewed the grant report on May 22, 2013 but did not undertake any verification of the grantee's reports as there has not been any reason to doubt their accuracy or reliability (Reg. 53.4945-5 (c) ).**

**The J.M. Kaplan Fund, Inc.**  
**Ein: 13-6090286**  
**Attachment to the 2013 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

---

- (1) Grantee:   The Walters Art Museum**  
**600 North Charles Street**  
**Baltimore, MD 21201**
- (2) Amount and Date Paid: \$10,000 paid on April 23, 2013**
- (3) Total paid: \$10,000**
- (4) Purpose of Grant:       For the ongoing support of The Walters Art Museum.**
- (5) Amount of Grant Spent by Grantee: \$10,000**
- (6) Diversion:   To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.**
- (7) Date of Report Received from Grantee: May 22, 2014**
- (8) The J.M. Kaplan Fund, Inc. reviewed the grant report on May 22, 2014 but did not undertake any verification of the grantee's reports as there has not been any reason to doubt their accuracy or reliability (Reg. 53.4945-5 (c) ).**

**The J.M. Kaplan Fund, Inc.**  
**EIn: 13-6090286**  
**Attachment to the 2013 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

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- (1) Grantee: Clark Art Institute**  
**225 South Street**  
**Williamstown, MA 01267**
- (2) Amount and Date Paid: \$6,000 paid on December 11, 2013**
- (3) Total paid: \$6,000**
- (4) Purpose of Grant: For the support of the publication "Raw Color, The Circles of David Smith".**
- (5) Amount of Grant Spent by Grantee: \$6,000**
- (6) Diversion: To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.**
- (7) Date of Report Received from Grantee: May 6, 2014**
- (8) The J.M. Kaplan Fund, Inc. reviewed the grant report on May 6, 2014, but will not undertake any verification of the grantee's reports as there has not been any reason to doubt their accuracy or reliability (Reg. 53.4945-5 (c) ).**

**The J.M. Kaplan Fund, Inc.**  
**Ein: 13-6090286**  
**Attachment to the 2013 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

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- (1) Grantee: University of Pennsylvania Press**  
**3905 Spruce Street**  
**Philadelphia, PA 19104**
- (2) Amount and Date Paid: \$6,000 paid on December 20, 2013**
- (3) Total paid: \$6,000**
- (4) Purpose of Grant: For the support of the publication "Creating the Japanese Garden: Landscape Inspirations:1650-1950".**
- (5) Amount of Grant Spent by Grantee: \$6,000**
- (6) Diversion: To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.**
- (7) Date of Report Received from Grantee: No report received yet.**
- (8) The J.M. Kaplan Fund, Inc. will review the grant report when received, but will not undertake any verification of the grantee's reports as there has not been any reason to doubt their accuracy or reliability (Reg. 53.4945-5 (c) ).**



**The J.M. Kaplan Fund, Inc.**  
**EIn: 13-6090286**  
**Attachment to the 2013 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

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- (1) Grantee:** American Friends of the Canadian Center  
for Architecture Inc.  
C/O Davies Ward Phillips & Vineberg S.E.N.C.R.L., s.r.l.  
900 Third Avenue  
24<sup>th</sup> Floor  
New York, NY 10022
- (2) Amount and Date Paid:** \$5,000 paid on June 12, 2013
- (3) Total paid:** \$5,000
- (4) Purpose of Grant:** For the support of the publication “  
Chandigarh and Casablanca: Modern Urbanism, New Geographies”.
- (5) Amount of Grant Spent by Grantee:** \$5,000
- (6) Diversion:** To the knowledge of the foundation, and based on the  
report furnished by the grantee, no part has been used for other than its  
intended purpose.
- (7) Date of Report Received from Grantee:** October 28, 2013.
- (8) The J.M. Kaplan Fund, Inc. reviewed the grant report on October 28,  
2013, but will not undertake any verification of the grantee’s reports as  
there has not been any reason to doubt their accuracy or reliability  
(Reg. 53.4945-5 (c) ).**

**The J.M. Kaplan Fund, Inc.**  
**EIn: 13-6090286**  
**Attachment to the 2013 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

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- (1) Grantee: Center for Applied Transect Studies  
1023 SW 25th Avenue  
Miami, FL 33135**
- (2) Amount and Date Paid: \$50,000 paid on July 24, 2013**
- (3) Total paid: \$50,000**
- (4) Purpose of Grant: For the support of the publication “  
Heterodoxia- Architectonica: A 4 Volume Treatise on Architecture-  
Aims to Establish the Theoretical Basis for the Reconciliation of  
Classical and Modernist ”.**
- (5) Amount of Grant Spent by Grantee: \$50,000**
- (6) Diversion: To the knowledge of the foundation, and based on the  
report furnished by the grantee, no part has been used for other than its  
intended purpose.**
- (7) Date of Report Received from Grantee: August 13, 2013.**
- (8) The J.M. Kaplan Fund, Inc. reviewed the grant report on August 13,  
2013, but will not undertake any verification of the grantee’s reports as  
there has not been any reason to doubt their accuracy or reliability  
(Reg. 53.4945-5 (c) ).**

**The J.M. Kaplan Fund, Inc.**  
**Ein: 13-6090286**  
**Attachment to the 2013 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

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- (1) Grantee: J. Paul Getty Trust**  
**Getty Research Institute**  
**1200 Getty Center Drive, Suite 1100**  
**Los Angeles, CA 90049**
- (2) Amount and Date Paid: \$3,500 paid on December 11, 2013**
- (3) Total paid: \$3,500**
- (4) Purpose of Grant: For the support of the publication " Los Angeles Union Station ".**
- (5) Amount of Grant Spent by Grantee: \$3,500**
- (6) Diversion: To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.**
- (7) Date of Report Received from Grantee: March 25, 2014.**
- (8) The J.M. Kaplan Fund, Inc. reviewed the grant report on March 25, 2014, but will not undertake any verification of the grantee's reports as there has not been any reason to doubt their accuracy or reliability (Reg. 53.4945-5 (c) ).**

**The J.M. Kaplan Fund, Inc.**  
**For the year ended**  
**December 31, 2013**

| <u>TRUSTEE/Address</u>                                                                                                                                         | <u>Hours<br/>Worked/Wk</u> | <u>Contributions<br/>to "EE"<br/>Benefit Plans</u> | <u>Expense<br/>Account</u> | <u>Compensation</u> |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|----------------------------------------------------|----------------------------|---------------------|
| <b>Note:</b> The mailing address for<br>All Trustees is:<br><br>C/o The J.M Kaplan Fund, Inc.<br>261 Madison Avenue 19 <sup>th</sup> Fl.<br>New York, NY 10016 |                            |                                                    |                            |                     |
| <b>Joan Davidson, Trustee</b>                                                                                                                                  | 3-5                        | None                                               | None                       | 5,000               |
| <b>Elizabeth K. Fonseca, Trustee</b>                                                                                                                           | 3-5                        | None                                               | None                       | 4,000               |
| <b>Mary E. Kaplan, Trustee</b>                                                                                                                                 | 3-5                        | None                                               | None                       | 5,000               |
| <b>Richard D. Kaplan, Trustee</b>                                                                                                                              | 3-5                        | None                                               | None                       | 5,000               |
| <b>J. Matthew Davidson, Trustee</b>                                                                                                                            | 3-5                        | None                                               | None                       | 9,000               |
| <b>Brad Davidson, Trustee</b>                                                                                                                                  | 3-5                        | None                                               | None                       | 9,000               |
| <b>Elizabeth Davidson Pickering, Trustee</b>                                                                                                                   | 3-5                        | None                                               | None                       | 9,000               |
| <b>Peter Davidson, Trustee</b>                                                                                                                                 | 3-5                        | None                                               | None                       | 9,000               |
| <b>Caio Fonseca, Trustee</b>                                                                                                                                   | 3-5                        | None                                               | None                       | 7,000               |
| <b>Isabel Fonseca, Trustee</b>                                                                                                                                 | 3-5                        | None                                               | None                       | 9,000               |
| <b>Quina Fonseca, Trustee</b>                                                                                                                                  | 3-5                        | None                                               | None                       | 8,000               |
|                                                                                                                                                                |                            | <u>\$ -0-</u>                                      | <u>\$ -0-</u>              | <u>\$80,000</u>     |

990PF, PART VIII - COMPENSATION OF THE FIVE HIGHEST PAID EMPLOYEES

| <u>NAME AND ADDRESS</u>                                            | <u>TITLE AND AVERAGE<br/>HOURS PER WEEK<br/>DEVOTED TO POSITION</u> | <u>COMPENSATION</u> | <u>ATTACHMENT 18</u>                                                                     |   |
|--------------------------------------------------------------------|---------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------|---|
|                                                                    |                                                                     |                     | <u>CONTRIBUTIONS EXPENSE ACCT<br/>TO EMPLOYEE AND OTHER<br/>BENEFIT PLANS ALLOWANCES</u> |   |
| WILLIAM P. FALAHEE<br>C/O 261 MADISON AVENUE<br>NEW YORK, NY 10016 | CONTROLLER<br>40.00                                                 | 117,686.            | 54,100.                                                                                  | 0 |
| ANGELA CARABINE<br>261 MADISON AVENUE<br>NEW YORK, NY 10016        | GRANTS MANAGER<br>40.00                                             | 93,467.             | 43,887.                                                                                  | 0 |
| ANN BIRCKMAYER<br>261 MADISON AVENUE<br>NEW YORK, NY 10016         | PROGRAM ASSOCIATE<br>35.00                                          | 57,026.             | 9,098.                                                                                   | 0 |
|                                                                    | TOTAL COMPENSATION                                                  | 268,179.            | 107,085.                                                                                 | 0 |

990PF, PART VIII- COMPENSATION OF THE FIVE HIGHEST PAID PROFESSIONALSATTACHMENT 19

| <u>NAME AND ADDRESS</u>                                             | <u>TYPE OF SERVICE</u> | <u>COMPENSATION</u> |
|---------------------------------------------------------------------|------------------------|---------------------|
| BRANDYWINE MANAGEMENT CO.<br>880 THIRD AVENUE<br>NEW YORK, NY       | INVESTMENT SERVICES    | 468,568.            |
| SUZETTE BROOKS MASTERS<br>40 EAST 88TH STREET<br>NEW YORK, NY 10075 | GRANT CONSULTANT       | 92,800.             |
| KEN LUSTBADER<br>37 WEST 12TH STREET<br>NEW YORK, NY 10011          | GRANT CONSULTANT       | 77,100.             |
|                                                                     | TOTAL COMPENSATION     | <u>638,468.</u>     |

ATTACHMENT 20

FORM 990PF, PART XV - INFORMATION REGARDING FOUNDATION MANAGERS

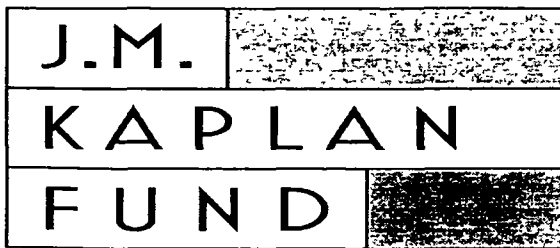
JACOB M. KAPLAN-DECEASED  
HENRY C. KAPLAN-DECEASED

ATTACHMENT 21

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

SEE STATEMENT ATTACHED





## Grant Application

Name of Organization: \_\_\_\_\_

Legal Name of Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Telephone # \_\_\_\_\_ Fax # \_\_\_\_\_

Website Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Contact Title: \_\_\_\_\_

Contact E-mail Address: \_\_\_\_\_

Please send the completed application to Angela Carabine, Grants Manager at The J.M. Kaplan Fund, 261 Madison Avenue, 19<sup>th</sup> Floor, New York, NY 10016 or via email to [acarabine@jmkfund.org](mailto:acarabine@jmkfund.org)

Please include the following materials with the application:

1. Copy of the IRS 501 (c)(3) Determination Letter
2. List of the Board of Directors
3. Current Year Operating Budget
4. Project Summary, if other than General Operating Support
5. Project Budget
6. Copy of the most recent Audited Financial Statement or IRS 990
7. Annual Report, if available

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

ATTACHMENT 22

| RECIPIENT NAME AND ADDRESS   | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR<br>AND<br>FOUNDATION STATUS OF RECIPIENT |  | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT     |
|------------------------------|----------------------------------------------------------------------------------|--|----------------------------------|------------|
|                              |                                                                                  |  |                                  |            |
| SEE STATEMENT ATTACHED<br>ED | NONE                                                                             |  | SEE SCHEDULE ATTACHED            | 6,016,020. |
| TOTAL CONTRIBUTIONS PAID     |                                                                                  |  |                                  | 6,016,020. |

# **The J.M. Kaplan Fund, Inc.**

## **List of Grants Paid**

**31-Dec-13**

**EIN: 13-6090286**

### **Program Grants**

| Organization                                                                                                | Status | Description                                                   | Amount    |
|-------------------------------------------------------------------------------------------------------------|--------|---------------------------------------------------------------|-----------|
| The Ocean Foundation<br>1990 M Street, NW<br>Suite 250<br>Washington, DC 20036                              | PC     | High Seas Alliance                                            | \$ 75,000 |
| Tides Canada<br>400-163 West Hastings Street<br>Vancouver, BC V6B 1H5<br>CANADA                             | PC     | Tides Canada Initiatives - Arctic Funders Group               | \$ 25,000 |
| Alma Mater Studiorum - University of<br>Bologna<br>Piazza San Giovanni in Monte 2<br>Bologna 40124<br>Italy | PC     | 2013 Prioritized Conservation at Ancient Karkemish,<br>Turkey | \$ 25,000 |
| Bannerman Castle Trust<br>P.O. Box 843<br>Glenham, NY 12527-0843                                            | PC     | Bannerman Island Arsenal Stabilization Project - Phase<br>2   | \$ 25,000 |
| Hamilton Partnership for Paterson<br>32 Spruce Street<br>3rd Floor<br>Paterson, J 07501                     | PC     | Industrial Heritage Reuse and Feasibility Study               | \$ 25,000 |

|                                                                                                                    |    |                                                                                                                 |    |        |
|--------------------------------------------------------------------------------------------------------------------|----|-----------------------------------------------------------------------------------------------------------------|----|--------|
| Harvard University<br>Cambridge, MA                                                                                | PC | Conservation and Cleaning of the Temple of Artemis:<br>Completion of a Kaplan Initiated Multi-Year Project      | \$ | 40,000 |
| Michigan Technological University<br>Lakeshore Center, 3rd Floor<br>1400 Townsend Drive<br>Houghton, MI 49931-1295 | PC | To Create the First-Ever Comprehensive Nationwide<br>Inventory of Industrial Heritage Resources                 | \$ | 25,000 |
| Montana Preservation Alliance<br>120 Reeder's Alley<br>Helena, MT 59601                                            | PC | Stabilization of Landmark 20th Century Industrial<br>Brick Kilns - Phase 2                                      | \$ | 50,000 |
| National Trust for Historic Preservation<br>in the U.S.<br>1785 Massachusetts Avenue, NW<br>Washington, DC 20036   | PC | For Industrial Heritage Track/Sessions at the 2013<br>National Preservation Conference                          | \$ | 25,000 |
| New York University<br>New York, NY 10012                                                                          | PC | Pilot Project Combining Innovative Excavation and<br>Conservation of an Iron Age Site at Kinok Hoyuk,<br>Turkey | \$ | 40,000 |
| The Lowline<br>c/o Underground Development<br>Foundation<br>5 White Street<br>#4B<br>New York,, NY 10013           | PC | Historic Preservation Documentation and Community<br>Engagement                                                 | \$ | 35,000 |
| The Preservation League of New York<br>State<br>44 Central Lane<br>Albany, NY 12206                                | PC | New York State Industrial Heritage Redevelopment<br>Project                                                     | \$ | 78,000 |
| University of Pennsylvania<br>Philadelphia, PA 19104-6311                                                          | PC | Conservation of the Monumental City Gate at Gordion                                                             | \$ | 50,000 |
| Italian Archaeological Mission<br>Italian Kazi Heyeti<br>Menderes Caddesi 23<br>TURKEY                             | PC | Second Phase of Conservation of the Sanctuary<br>of St. Philip the Apostle, Hierapolis, Turkey                  | \$ | 50,000 |

|                                                                                                      |    |                                                                                                    |    |        |
|------------------------------------------------------------------------------------------------------|----|----------------------------------------------------------------------------------------------------|----|--------|
| University of Toronto<br>100 St. George Street<br>Toronto, Ontario<br>Canada                         | PC | Conservation and Interpretation of Bronze and Iron<br>age Architectural Ruins at Atchana & Tayinat | \$ | 50,000 |
| Koc University<br>Istanbul<br>Turkey                                                                 | PC | Kaplan Fellowship for Archaeological Site<br>Management Planning                                   | \$ | 50,000 |
| French Institute for Anatolian Studies<br>Nuru Ziya SOK No:10 34433<br>Beyoglu<br>Istanbul<br>Turkey | PC | Conservation and Restoration of Bronze Age<br>Dining Hall in Labraunda                             | \$ | 40,000 |
| German Archaeological Institute<br>Inonu Caddes, 10<br>34437<br>Istanbul<br>Turkey                   | PC | Conservation of Three Terraced Hellenistic<br>Gymnasium at Pergamon                                | \$ | 50,000 |
| Global Heritage Fund<br>625 Emerson Street<br>Suite 200<br>Palo Alto, CA 94301                       | PC | Conservation of the World's First Temple at Gobekli<br>Tepe                                        | \$ | 40,000 |
| University of Wisconsin<br>1848 University Avenue<br>P.O. Box 8860<br>Madison, WI                    | PC | Conservation and Column Reconstruction of the<br>Greek and Roman Agora at Troy                     | \$ | 40,000 |
| Stanford University<br>326 Galvez Street<br>Stanford, CA 94086                                       | PC | First Ever Comprehensive Conservation Partnership<br>and Training Program at Catalhoyuk, Turkey    | \$ | 50,000 |
| New York University<br>New York, NY                                                                  | PC | Anastylosis of the Propylon of the<br>Sebasteion at Aphrodisias                                    | \$ | 75,000 |

|                                                                                                                   |    |                                                                                                            |    |        |
|-------------------------------------------------------------------------------------------------------------------|----|------------------------------------------------------------------------------------------------------------|----|--------|
| World Monuments Fund<br>350 Fifth Avenue<br>Suite 2412<br>New York, NY 10018                                      | PC | Conservation and Training at Biet Gabriel Rafael<br>and Biet Lehem Churches, Lalibela, Ethiopia            | \$ | 75,000 |
| ACCESS<br>2651 Saulino Court<br>Dearborn, MI 48120                                                                | PC | National Network of Arab Communities (NNAAC), a<br>project of ACCESS                                       | \$ | 15,000 |
| CARECEN - Central American Resource<br>Center<br>2845 West Seventh Street<br>Los Angeles, CA 90005-3907           | PC | Planning Grant to launch National Dream University<br>Pilot                                                | \$ | 25,000 |
| Community Initiatives<br>354 Pine Street<br>Suite 700<br>San Francisco, CA 94104                                  | PC | Educators for Fair Consideration (E4FC) - Increasing<br>Financial Access for Undocumented College Students | \$ | 15,000 |
| Florida Immigrant Coalition<br>2800 Biscayne Boulevard<br>Suite 800<br>Miami, FL 33137                            | PC | 2013 National Immigrant Integration Conference                                                             | \$ | 40,000 |
| HIAS<br>333 Seventh Avenue<br>New York, NY 10001                                                                  | PC | Refugee Resettlement Backlash Pilot Project                                                                | \$ | 35,000 |
| Illinois Coalition for Immigrant and<br>Refugee Rights<br>55 E. Jackson Blvd.<br>Suite 2075<br>Chicago, IL 60604  | PC | Supporting the Integration of High-Skilled Foreigners<br>in Illinois                                       | \$ | 45,000 |
| Massachusetts Immigrant and Refugee<br>Advocacy Coalition<br>105 Chauncey Street<br>Suite 901<br>Boston, MA 02111 | PC | Creating a Massachusetts Pipeline for Foreign Trained<br>Professionals                                     | \$ | 45,000 |

|                                                                                                          |    |                                                                                                |    |         |
|----------------------------------------------------------------------------------------------------------|----|------------------------------------------------------------------------------------------------|----|---------|
| Migration Policy Institute<br>1400 16th Street, NW<br>Suite 300<br>Washington, DC 20036-2257             | PC | Coordination of Pilot Programs awarded in response to<br>Kaplan RFP on High Skilled Foreigners | \$ | 30,000  |
| Migration Policy Institute<br>1400 16th Street, NW<br>Suite 300<br>Washington, DC 20036-2257             | PC | Refugee Resettlement: Strengthening the System and<br>Containing the Backlash                  | \$ | 15,000  |
| National Immigration Forum<br>50 F Street, NW<br>Suite 300<br>Washington, DC 20001                       | PC | National Evangelical Immigration Strategy - State by<br>State                                  | \$ | 75,000  |
| National Immigration Forum<br>50 F Street, NW<br>Suite 300<br>Washington, DC 20001                       | PC | Evangelical Immigration Outreach Strategy<br>Atlantic Philanthropies Match - JMK Reserve Fund  | \$ | 100,000 |
| OneAmerica<br>1225 S. Weller Street<br>Suite 200<br>Seattle, WA 98144                                    | PC | Integration of High Skilled Immigrants & Refugees in<br>Washington State                       | \$ | 45,000  |
| Public Interest Projects<br>45 West 36th Street, 6th Floor<br>New York, NY 10018                         | PC | Four Freedoms Fund, the national donor collaborative<br>focused on immigrants                  | \$ | 100,000 |
| Welcoming America<br>250 East Ponce de Leon Avenue<br>Suite 320<br>Decatur, GA 30030                     | PC | General Operating Support                                                                      | \$ | 145,000 |
| Westchester Community College<br>Foundation<br>Hartford Hall<br>75 Grasslands Road<br>Valhalla, NY 10595 | PC | Community College Consortium for<br>Immigration Education (CCCCIE)                             | \$ | 100,000 |

|                                                                                                    |    |                                                                                                                                            |    |             |
|----------------------------------------------------------------------------------------------------|----|--------------------------------------------------------------------------------------------------------------------------------------------|----|-------------|
| World Education Services<br>1 Battery Park Plaza<br>New York, NY 10004                             | PC | IMPRINT: Putting Skilled Immigrants on the Map                                                                                             | \$ | 150,000     |
| Bronx River Alliance<br>One Bronx River Parkway<br>Bronx, NY 10462                                 | PC | Bronx River Greenway                                                                                                                       |    | \$40,000.00 |
| Brooklyn Greenway Initiative<br>145 Columbia Street<br>Brooklyn, NY 11231                          | PC | Brooklyn Waterfront Greenway                                                                                                               |    | \$40,000.00 |
| Hester Street Collaborative<br>113 Hester Street<br>New York, NY 10002                             | PC | Local Spokes Neighborhood Action Plan                                                                                                      |    | \$50,000.00 |
| Metropolitan Waterfront Alliance<br>241 Water Street<br>3rd Floor<br>New York, NY 10038            | PC | Waterfront Action Agenda and Vision 2020: The<br>Comprehensive Waterfront Plan for New York City                                           |    | \$40,000.00 |
| National Parks Conservation Association<br>777 6th Street, NW<br>Suite 700<br>Washington, DC 20001 | PC | New York/New Jersey Harbor Coalition: Rebuilding,<br>Restoring, Creating Resiliency and Environmental<br>Justice around "America's Harbor" |    | \$50,000.00 |
| New York Harbor Foundation<br>10 South Street<br>Slip 7<br>New York, NY 10004                      | PC | New York Harbor School                                                                                                                     |    | \$40,000.00 |
| New York Public Interest Research<br>Group<br>9 Murray Street<br>New York, NY 10007-2272           | PC | Straphangers Campaign: Winning Faster, More<br>Reliable & Affordable Bus Service                                                           |    | \$50,000.00 |



|                                                                                                                                             |    |                                                                                                                  |             |
|---------------------------------------------------------------------------------------------------------------------------------------------|----|------------------------------------------------------------------------------------------------------------------|-------------|
| <p>New Yorkers for Parks<br/>The Arthur Ross Center for Parks and Open Spaces<br/>55 Broad Street<br/>23rd Floor<br/>New York, NY 10004</p> | PC | 2013 Research and Advocacy Activities                                                                            | \$40,000.00 |
| <p>Queens Museum of Art<br/>New York City Building<br/>Flushing Meadows Corona Park<br/>Queens, NY 11368-3398</p>                           | PC | Museum of the Park Initiative                                                                                    | \$50,000.00 |
| <p>Regional Plan Association<br/>4 Irving Place, 7th Floor<br/>New York, NY 10003</p>                                                       | PC | Governors Island Alliance: Creating An Invested Constituency                                                     | \$40,000.00 |
| <p>The Horticultural Society of New York<br/>148 West 37th Street<br/>13th Floor<br/>New York, NY 10018</p>                                 | PC | To support the launch of Neighborhood Plaza Partnership, a joint initiative of the DOT and Horticultural Society | \$50,000.00 |
| <p>The Point Community Development Corporation<br/>940 Garrison Avenue<br/>Bronx, NY 10474</p>                                              | PC | South Bronx Greenway & Riverside Campus for Arts & Environment                                                   | \$40,000.00 |
| <p>Transportation Alternatives<br/>127 West 26th Street<br/>Suite 1002<br/>New York, NY 10001</p>                                           | PC | Bicycle Ambassadors: Citi Bike Outreach & Education                                                              | \$50,000.00 |
| <p>Trust for Public Land<br/>666 Broadway<br/>Ninth Floor<br/>New York, NY 10012</p>                                                        | PC | Parks for People - New York City Programs                                                                        | \$40,000.00 |

2nd Generation Fund

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| ACE Programs for the Homeless<br>598 Broadway<br>7th Floor<br>New York, NY 10012                    | PC    | General Support                       | \$ | 10,000 |
| American Folk Art Museum<br>1865 Broadway<br>11th Floor<br>New York, NY 10023                       | PC    | General Support                       | \$ | 25,000 |
| Ann Norton Sculpture Gardens<br>253 Barcelona Road<br>West Palm Beach, FL 33401                     | 501C3 | General Support                       | \$ | 10,000 |
| Ann Norton Sculpture Gardens<br>253 Barcelona Road<br>West Palm Beach, FL 33401                     | 501C3 | General Support                       | \$ | 10,000 |
| Aston Magna Foundation for Music and<br>the Humanities<br>P.O. Box 28<br>Great Barrington, MA 01230 | PC    | General Support                       | \$ | 2,000  |
| Beth Israel Medical Center<br>First Avenue @ 16th Street<br>New York, NY 10003                      | PC    | The Martin M. Feuer MD Education Fund | \$ | 10,000 |
| Bristol Hospital Development Foundation<br>Brewster Road<br>Bristol, CT 06010                       | PC    | To purchase medical equipment         | \$ | 10,000 |

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| Center for Applied Transect Studies<br>1035 SW 25th Avenue<br>Miami, FL 33135                        | POF | For publication, to be titled Heterodoxia Architectonica.<br>Heterodoxia Architectonica , a four-volume treatise on architecture, aims to establish the theoretical basis for the reconciliation of Classical and Modernist | \$ | 50,000 |
| Columbia University<br>New York, NY 10027                                                            | PC  | Paul Klebnikov Fund - General Support                                                                                                                                                                                       | \$ | 5,000  |
| Coudert Institute<br>163 Seminole Avenue<br>Palm Beach, FL 33480                                     | PC  | General Support                                                                                                                                                                                                             | \$ | 15,000 |
| Gentlemen of the Gardens<br>400 North Congress Avenue<br>Suite 100<br>West Palm Beach, FL 33401      | PC  | General Support                                                                                                                                                                                                             | \$ | 10,000 |
| Global Foundation for Humanity<br>35 Cunningham Drive<br>Monroe, NY 10950                            | PC  | The Veermi Project                                                                                                                                                                                                          | \$ | 10,000 |
| Globe Moving Theatre<br>306 West 4th Street<br>Apt. #C3<br>New York, NY 10014                        | PC  | General Support                                                                                                                                                                                                             | \$ | 15,000 |
| Gold Coast Arts Center<br>113 Middle Neck Road<br>Great Neck, NY 11021                               | PC  | General Support                                                                                                                                                                                                             | \$ | 10,000 |
| Hope for Depression Research<br>Foundation<br>667 Madison Avenue<br>17th Floor<br>New York, NY 10065 | PC  | General Support                                                                                                                                                                                                             | \$ | 10,000 |

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| Hopital Albert Schweitzer Haiti<br>P.O. Box 81046<br>Pittsburgh, PA 15217                          | PC | General Support                                          | \$ | 5,000  |
| Mary Obolensky Underwood Foundation<br>1400 Alabama Avenue<br>Suite 9<br>West Palm Beach, FL 33401 | PC | General Support                                          | \$ | 5,000  |
| Museum of Arts and Design<br>2 Columbus Circle<br>New York, NY 10019                               | PC | General Support                                          | \$ | 10,000 |
| Museum of Arts and Design<br>2 Columbus Circle<br>New York, NY 10019                               | PC | General Support                                          | \$ | 10,000 |
| Mystic Seaport<br>PO Box 6000<br>75 Greenmanville Avenue<br>Mystic, CT 06355-0990                  | PC | General Support                                          | \$ | 15,000 |
| National Museum of Women in the Arts<br>1250 New York Avenue, NW<br>Washington, DC 20005-3920      | PC | For the exhibition, "Picturing Mary: Mother Woman, Idea" | \$ | 10,000 |
| New York School of Interior Design<br>170 East 70th Street<br>New York, NY 10021                   | PC | Geoffrey Bradfield Scholarship Fund                      | \$ | 5,000  |
| New York Stem Cell Foundation<br>1995 Broadway<br>Suite 600<br>New York, NY 10023                  | PC | General Support                                          | \$ | 10,000 |
| Red Hook Art Project<br>176 Richards Street<br>Brooklyn, NY 11231                                  | PC | General Support                                          | \$ | 5,000  |

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| Red Octopus Theatre Company<br>Box 1403<br>Newport, OR 97365                                | PC | General Support                                                                                                                                               | \$ | 10,000 |
| Regional Plan Association<br>4 Irving Place, 7th Floor<br>New York, NY 10003                | PC | General Support                                                                                                                                               | \$ | 20,000 |
| Rocky Mountain Institute<br>2317 Snowmass Creek Road<br>Snowmass, CO 81654-9199             | PC | General Support                                                                                                                                               | \$ | 10,000 |
| Save a Child America Inc.<br>135 East 54th Street, #15K<br>New York, NY 10022               | PC | General Support                                                                                                                                               | \$ | 5,000  |
| Susan Smith Blackburn Prize<br>3239 Avalon Place<br>Houston, TX 77019                       | PC | General Support                                                                                                                                               | \$ | 1,000  |
| The American Ireland Fund<br>211 Congress Street<br>10th Floor<br>Boston, MA 02110          | PC | Cill Rialaig Project                                                                                                                                          | \$ | 15,000 |
| The American Ireland Fund<br>211 Congress Street<br>10th Floor<br>Boston, MA 02110          | PC | Restoration of Dublin's City Assembly House                                                                                                                   | \$ | 20,000 |
| The American Ireland Fund<br>211 Congress Street<br>10th Floor<br>Boston, MA 02110          | PC | For the book, The Last Knight: A Celebration of<br>Desmond Fitzgerald                                                                                         | \$ | 10,000 |
| The Churchill Centre & Museum<br>200 West Madison Street<br>Suite 1700<br>Chicago, IL 60606 | PC | \$10,000 - For the National Churchill Library & Center<br>in Washington, DC<br>\$10,000 - For the Churchill War Rooms of the Imperial<br>War Museum in London | \$ | 20,000 |

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| The Culture Project<br>49 Bleecker Street<br>Suite 404<br>New York, NY 10012                      | PC | General Support                                                                                            | \$ | 10,000 |
| The English Speaking Union<br>144 East 39th Street<br>New York, NY 10016                          | PC | General Support                                                                                            | \$ | 10,000 |
| The Franklin and Eleanor Roosevelt<br>Institute<br>570 Lexington Avenue<br>New York, NY 10022     | PC | Franklin D. Roosevelt Presidential Library & Museum                                                        | \$ | 10,000 |
| The Horticultural Society of New York<br>148 West 37th Street<br>13th Floor<br>New York, NY 10018 | PC | Neighborhood Plaza Partnership                                                                             | \$ | 10,000 |
| The Interfaith Center of New York<br>475 Riverside Drive<br>New York, NY 10115                    | PC | General Support                                                                                            | \$ | 10,000 |
| The Municipal Art Society of New York<br>111 West 57th Street<br>New York, NY 10019               | PC | General Support                                                                                            | \$ | 5,000  |
| The New York Foundation for the Arts<br>20 Jay Street, Suite 740<br>Brooklyn, NY 11201            | PC | Artist Fund: awarded to Confrey Phillips for a<br>documentary and awarded to Luc Petre for<br>music salon; | \$ | 15,750 |
| The Royal Oak Foundation<br>35 West 35th Street<br>Suite 1201<br>New York, NY 10001               | PC | General Support                                                                                            | \$ | 10,000 |

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| The Royal Oak Foundation<br>35 West 35th Street<br>Suite 1201<br>New York, NY 10001 | PC | General Support                                             | \$ | 3,000  |
| The Skyscraper Museum<br>39 Battery Place<br>New York, NY 10280                     | PC | General Support                                             | \$ | 5,000  |
| The Society of the Four Arts<br>2 Four Arts Plaza<br>Palm Beach, FL 33480           | PC | General Support                                             | \$ | 10,000 |
| Thomas Cole National Historic Site<br>P.O. Box 426<br>Catskill, NY 12414            | PC | General Support                                             | \$ | 5,000  |
| Thomas Cole National Historic Site<br>P.O. Box 426<br>Catskill, NY 12414            | PC | General Support                                             | \$ | 2,000  |
| urbanStages<br>555 Eighth Avenue<br>Auite 1800<br>New York, NY 10018                | PC | General Support                                             | \$ | 10,000 |
| urbanStages<br>555 Eighth Avenue<br>Auite 1800<br>New York, NY 10018                | PC | General Support                                             | \$ | 15,000 |
| Westminster College<br>501 Westminster Avenue<br>Fulton, MO 65251                   | PC | Archival/Restoration Support - National Churchill<br>Museum | \$ | 15,000 |
| Cotidiano Mujer<br>San Jose 1436<br>Montevideo C.P. 11.200<br>URUGUAY               | PC | "Nunca en Domingo" (Never on Sunday) Radio<br>Program       | \$ | 25,000 |

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| Critical Review Foundation<br>P.O. Box 869<br>Helotes, TX 78023                                    | PC | General Support                                                                                                                                                                   | \$ | 90,000  |
| Families for Freedom<br>35 West 31st Street<br>Suite 702<br>New York, NY 10001                     | PC | General Support                                                                                                                                                                   | \$ | 19,000  |
| Fund for New Citizens at The New York<br>Community Trust<br>909 Third Avenue<br>New York, NY 10022 | PC | Immigration Representation Project                                                                                                                                                | \$ | 100,000 |
| Make the Road New York<br>301 Grove Street<br>Brooklyn, NY 11237                                   | PC | General Support                                                                                                                                                                   | \$ | 19,000  |
| Manhattan Institute for Policy Research<br>52 Vanderbilt Avenue<br>3rd Floor<br>New York, NY 10017 | PC | Richard Cornuelle Social Entrepreneurship Award<br>Program                                                                                                                        | \$ | 150,000 |
| North Fork Spanish Apostolate (NFSA)<br>220 Roanoke Avenue<br>Riverhead, NY 11901                  | PC | General Support                                                                                                                                                                   | \$ | 12,500  |
| The Alex Fund<br>211 West 106th Street<br>#4A<br>New York, NY 10025                                | PC | General Support - OvidiuRo helps Romanian schools<br>and communities successfully integrate impoverished<br>children into the education system at the appropriately<br>early age. | \$ | 10,000  |
| The Freeport Trailer<br>27 Surrey Drive<br>Merrick, NY 11566                                       | PC | Day Laborers Support                                                                                                                                                              | \$ | 12,500  |



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| The George Mason University<br>Foundation<br>4400 University Drive<br>Fairfax, VA 22030    | PC | Richard Cornuelle Graduate Student Research<br>Fellowships - PhD Students working on Spontaneous<br>Social Order Studies; and Kaplan Workshop in<br>Politics, Philosophy and Economics | \$ | 75,000 |
| The Point Community Development<br>Corporation<br>940 Garrison Avenue<br>Bronx, NY 10474   | PC | General Support                                                                                                                                                                        | \$ | 25,000 |
| The Point Community Development<br>Corporation<br>940 Garrison Avenue<br>Bronx, NY 10474   | PC | General Support                                                                                                                                                                        | \$ | 50,000 |
| Critical Review Foundation<br>P.O. Box 869<br>Helotes, TX 78023                            | PC | General Operating Support                                                                                                                                                              | \$ | 50,000 |
| Donor's Trust<br>109 North Henry Street<br>Alexandria, VA 22314                            | PC | For the Philanthropic Enterprise, a project<br>merging the activities of the project for New<br>Philanthropy Studies & the Fund for the Study of<br>Spontaneous Orders.                | \$ | 50,000 |
| Adirondack Museum<br>PO Box 99<br>Blue Mountain Lake, NY 12812-0099                        | PC | General Support                                                                                                                                                                        | \$ | 5,000  |
| Adirondack Wild: Friends of the Forest<br>Preserve<br>P.O. Box 9247<br>Niskayuna, NY 12309 | PC | General Support                                                                                                                                                                        | \$ | 5,000  |
| Albany Institute of History and Art<br>125 Washington Avenue<br>Albany, NY 12210           | PC | For the book, The Mystery of the Albany Mummies:<br>Ancient Egypt in the Hudson Valley"                                                                                                | \$ | 6,000  |

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| Alliance for Justice<br>11 Dupont Circle NW<br>2nd Floor<br>Washington, DC 20036-1206                   | PC  | General Support                                                                 | \$ | 5,000 |
| American Friends of the British Museum<br>275 Madison Avenue<br>Suite 401<br>New York, NY 10016         | PC  | For the book, "Thomas Berwick: Graphic Worlds"                                  | \$ | 4,500 |
| American Civil Liberties Union<br>Foundation<br>125 Broad Street, 18th Floor<br>New York, NY 10004-2400 | PC  | General Support                                                                 | \$ | 5,000 |
| American Composers Orchestra<br>244 West 35th Street<br>Suite 805<br>New York, NY 10019                 | PC  | General Support                                                                 | \$ | 2,500 |
| American Farmland Trust<br>1200 18th Street, NW<br>Suite 800<br>Washington, DC 20036                    | PC  | General Support                                                                 | \$ | 2,500 |
| American Friends of the Canadian Center<br>for Architecture<br>900 3RD Avenue<br>New York, NY 10022     | POF | For the book, "Chandigarh and Casablanca: Modern<br>Urbanism, New Geographies"  | \$ | 5,000 |
| American Friends of the NPG<br>40 Ettl Lane<br>Unit 20<br>Greenwich, CT 06831                           | PC  | For the book, "National Portrait Gallery Highlights"                            | \$ | 5,000 |
| Americas Society, Inc.<br>680 Park Avenue<br>New York, NY 10021                                         | PC  | For the book, "The Unity of Nature: Alexander von<br>Humboldt and the Americas" | \$ | 5,000 |

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| Aperture Foundation<br>547 West 27th Street, 4th Floor<br>New York, NY 10001                              | PC | For the book, "The Open Road: Photographic Road<br>Trips Across America" | \$ | 5,000 |
| Bard College<br>Annandale-on-Hudson, NY 12504                                                             | PC | For the book, "Stravinsky and His World"                                 | \$ | 5,000 |
| Bowdoin College<br>5600 College Station<br>Brunswick, ME 04011                                            | PC | For the book, Maurice Prendergast" By the Sea"                           | \$ | 5,000 |
| Brennan Center for Justice<br>161 Avenue of the Americas, 12th<br>Floor<br>New York, NY 10013             | PC | General Support                                                          | \$ | 5,000 |
| Brooklyn Academy of Music<br>30 Lafayette Avenue<br>Brooklyn, NY 11217-1486                               | PC | General Support                                                          | \$ | 5,000 |
| Catskill Mountainkeeper<br>PO Box 381<br>Youngsville, NY 12758                                            | PC | General Support                                                          | \$ | 2,500 |
| Center for Land Use Interpretation<br>9331 Venice Blvd.<br>Culver City, CA 90232                          | PC | For the book, "Lay of the Land, Winter 2014"                             | \$ | 2,500 |
| Century Association Archives Foundation<br>7 West 43rd Street<br>New York, NY 10036                       | PC | General Support                                                          | \$ | 1,000 |
| Citizens Committee for Children of New<br>York<br>105 East 22nd Street<br>7th Floor<br>New York, NY 10010 | PC | General Support                                                          | \$ | 1,000 |

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| City Lore<br>72 East First Street<br>New York, NY 10003                                             | PC  | For the book, Welcome to Your Second Home: Casitas in New York City" | \$ | 3,500  |
| Civitas<br>1457 Lexington Avenue<br>New York, NY 10128                                              | PC  | General Support                                                      | \$ | 2,500  |
| Clark Art Institute<br>225 South Street<br>Williamstown, MA 01267                                   | SOI | For the book, "Raw Color: The Circles of David Smith"                | \$ | 6,000  |
| College of Charleston Foundation<br>66 George Street<br>Charleston, SC 29424                        | PC  | For the book, "Tales of the Conjure Woman"                           | \$ | 3,500  |
| Columbia County Historical Society, Inc.<br>5 Albany Avenue<br>P.O. Box 311<br>Kinderhook, NY 12106 | PC  | General Support                                                      | \$ | 5,000  |
| Columbia Land Conservancy, Inc.<br>P.O. Box 299<br>49 Main Street<br>Chatham, NY 12037              | PC  | General Support                                                      | \$ | 15,000 |
| Columbia University<br>New York, NY 10027                                                           | PC  | The New York World Project                                           | \$ | 12,500 |
| Columbia-Greene Hospital Foundation<br>71 Prospect Avenue<br>Hudson, NY 12534                       | PC  | General Support                                                      | \$ | 5,000  |
| Crocker Art Museum<br>216 O Street<br>Sacramento, CA 95814                                          | PC  | For the book, "Jules Tavernier: Artist and Adventurer"               | \$ | 4,000  |

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| Dartmouth College<br>Hanover, NH 03755                                                                 | PC | For the book, "Arts ad Crafts Architecture and its<br>Advocates: History and Heritage in New England"                                       | \$ | 5,000 |
| Environmental Advocates<br>353 Hamilton Street<br>Albany, NY 12210                                     | PC | General Support                                                                                                                             | \$ | 2,500 |
| Evergreens Cemetery Preservation<br>Foundation<br>1629 Bushwick Avenue<br>Brooklyn, NY 11207           | PC | For the pamphlet, "The Evergreens Cemetery, a<br>Visitor's Guide and a Connoisseur's Survey of Historic<br>Gravestone, Sites and Monuments" | \$ | 2,500 |
| Four Nations Ensemble<br>P.O. Box 1112<br>Hudson, NY 12534                                             | PC | General Support                                                                                                                             | \$ | 5,000 |
| Friends of Clermont<br>87 Clermont Avenue<br>Germantown, NY 12526                                      | PC | General Support                                                                                                                             | \$ | 5,000 |
| Friends of the Upper East Side Historic<br>Districts<br>966 Lexington Avenue, 3E<br>New York, NY 10021 | PC | General Support                                                                                                                             | \$ | 2,500 |
| George C. Marshall Research Foundation<br>VMI Parade<br>Lexington, VA 24450                            | PC | For the book, "The Papers of George Catlett Marshall"<br>Volume 7                                                                           | \$ | 5,000 |
| Gomez Foundation for Mill House<br>15 West 16th Street<br>5th Floor<br>New York, NY 10011              | PC | General Support                                                                                                                             | \$ | 5,000 |
| Greenwich Village Society for Historic<br>Preservation<br>232 East 11th Street<br>New York, NY 10003   | PC | General Support                                                                                                                             | \$ | 5,000 |

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| Historic Cherry Hill<br>523 1/2 South Pearl Street<br>Albany, NY 12202-1111         | PC  | General Support                           | \$ | 2,000  |
| Historic Hudson, Inc.<br>552 Warren Street<br>Hudson, NY 12534                      | PC  | General Support                           | \$ | 2,500  |
| Hudson Area Library<br>400 State Street<br>Hudson, NY 12534                         | PC  | General Support                           | \$ | 2,500  |
| Hudson Highlands Land Trust<br>P.O. Box 226<br>Garrison, NY 10524                   | PC  | General Support                           | \$ | 2,500  |
| Hudson Opera House<br>327 Warren Street<br>Hudson, NY 12534-2413                    | PC  | General Support                           | \$ | 15,000 |
| Hudson River Sloop Clearwater, Inc.<br>724 Wolcott Avenue<br>Beacon, NY 12508       | PC  | General Support                           | \$ | 5,000  |
| Hudsonia Limited<br>P.O. Box 5000<br>Annandale, NY 12504-5000                       | PC  | General Support                           | \$ | 2,500  |
| J. Paul Getty Trust<br>1200 Getty Center Drive<br>Los Angeles, CA 90049             | POF | For the book, "Los Angeles Union Station" | \$ | 3,500  |
| Land Trust Alliance, Inc.<br>1660 L Street NW<br>Suite 1100<br>Washington, DC 20036 | PC  | General Support                           | \$ | 2,500  |

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| Landmark West!<br>45 West 67th Street<br>New York, NY 10023                               | PC | General Support                                                                                                          | \$ | 2,500 |
| Library of American Landscape History,<br>Inc.<br>P.O. Box 1323<br>Amherst, MA 01004-1323 | PC | For the book, "Arthur A. Shurcliff: Design,<br>Preservation, and the Creation of the Colonial<br>Williamsburg Landscape" | \$ | 4,500 |
| Media Collective Inc.<br>115 West 29th Street<br>Suite 1101<br>New York, NY 10001         | PC | For the book, "CIPHERS"                                                                                                  | \$ | 3,000 |
| Merchant's House Museum<br>29 East Fourth Street<br>New York, NY 10003-7003               | PC | General Support                                                                                                          | \$ | 2,500 |
| Montclair Art Museum<br>Montclair, NJ                                                     | PC | For the book, "Come As You Are: Art of the 1990s"                                                                        | \$ | 5,000 |
| Museum of Arts and Design<br>2 Columbus Circle<br>New York, NY 10019                      | PC | For the book, "New Territories: Design, Art and Craft<br>in Latin America, 2000-2013"                                    | \$ | 7,500 |
| Musica Sacra<br>PO Box 974<br>Lenox Hill Station<br>New York, NY 10021                    | PC | General Support                                                                                                          | \$ | 5,000 |
| National Institute of Social Sciences<br>PO Box 286774<br>New York, NY 10128              | PC | Seed Grant Program                                                                                                       | \$ | 2,000 |

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| National Parks of New York Harbor Conservancy<br>Federal Hall National Memorial<br>26 Wall Street<br>Floor 3<br>New York, NY 1005 | PC | General Support                                                                | \$ | 1,000  |
| National Trust for Historic Preservation in the U.S.<br>1785 Massachusetts Avenue, NW<br>Washington, DC 20036                     | PC | For the book, "Lyndhurst: A Guide to the House and Landscape"                  | \$ | 5,000  |
| Natural Resources Defense Council, Inc.<br>40 West 20th Street<br>New York, NY 10011                                              | PC | For the journal, "OnEarth"                                                     | \$ | 10,000 |
| New York Genealogical and Biographical Society<br>36 West 44th Street<br>New York, NY 10036212.755.8532                           | PC | For the book, "New York Family History Research Guide and Gazetteer"           | \$ | 2,500  |
| New York League of Conservation Voters Education Fund<br>30 Broad Street<br>30th Floor<br>New York, NY 10004                      | PC | 2011 and 2012 New York City Chapter Gala Support                               | \$ | 2,000  |
| New York Preservation Archive Project<br>174 East 80th Street<br>New York, NY 10075                                               | PC | General Support                                                                | \$ | 1,000  |
| New York Public Radio<br>160 Varick Street<br>New York, NY 10013                                                                  | PC | General Support                                                                | \$ | 2,500  |
| New York Society Library Trustees<br>53 East 79th Street<br>New York, NY 10075                                                    | PC | For the book, "From the Western Front and Beyond: the Writings of World War I" | \$ | 3,000  |



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| New York Society Library Trustees<br>53 East 79th Street<br>New York, NY 10075     | PC | General Support                                                                                                          | \$ | 2,500 |
| New York University<br>New York, NY 10012                                          | PC | For the book, "Masters of Fire: The Copper Age in the Holy Land"                                                         | \$ | 5,000 |
| New York University<br>New York, NY 10012                                          | PC | For the book, Salvation on the East River: The Dream of South Street Seaport and the Reality of Development in New York" | \$ | 3,250 |
| NS-LIJ Lenox Hill Hospital<br>100 East 77th Street<br>New York, NY 10075-1850      | PC | General Support                                                                                                          | \$ | 5,000 |
| Orchestra of St. Luke's<br>450 West 37th Street<br>Suite 502<br>New York, NY 10018 | PC | General Support                                                                                                          | \$ | 5,000 |
| Park Avenue Armory<br>643 Park Avenue<br>New York, NY 10065                        | PC | General Support                                                                                                          | \$ | 2,500 |
| PEN American Center, Inc.<br>588 Broadway<br>Suite 303<br>New York, NY 10012       | PC | General Support                                                                                                          | \$ | 5,000 |
| Philadelphia Museum of Art<br>Box 7646<br>Philadelphia, PA 19101-7646              | PC | For the book, "Fernand Leger and the Modern City"                                                                        | \$ | 8,500 |
| Portland Museum of Art<br>Seven Congress Square<br>Portland, ME 04101              | PC | For the book, Richard Estes' Realism"                                                                                    | \$ | 6,000 |
| Prospect Park Alliance<br>95 Prospect Park West<br>Brooklyn, NY 11215              | PC | General Support                                                                                                          | \$ | 5,000 |

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| Queens Museum of Art<br>New York City Building<br>Flushing Meadows Corona Park<br>Queens, NY 11368-3398                                        | PC | For the book, "Re: Building the New York City Building"                           | \$ | 4,500 |
| Riverkeeper<br>20 Secor Road<br>Ossining, NY 10562                                                                                             | PC | General Support                                                                   | \$ | 5,000 |
| Scenic Hudson, Inc.<br>One Civic Center Plaza, Suite 200<br>Poughkeepsie, NY 12601                                                             | PC | General Support                                                                   | \$ | 5,000 |
| Seattle Art Museum<br>1300 First Avenue<br>Seattle, WA 98101                                                                                   | PC | For the book, "A Fuller Version of China - Chinese Art in the Seattle Art Museum" | \$ | 4,000 |
| Seven West Forty Third Street<br>Foundation<br>7 West 43rd Street<br>New York, NY 10036                                                        | PC | Facade Trust                                                                      | \$ | 5,000 |
| Shaker Museum/Mount Lebanon<br>88 Shaker Museum Road<br>Old Chatham, NY 12136                                                                  | PC | General Support                                                                   | \$ | 2,500 |
| Smithsonian Institution<br>Cooper-Hewitt, National Design<br>Museum<br>2 East 91st Street<br>New York, NY 10128                                | PC | For the book, "Making Design: a Handbook of Cooper-Hewitt's Permanent Collection" | \$ | 8,500 |
| Smithsonian Institution<br>Freer Gallery of Art and Arthur M.<br>Sackler Gallery<br>1050 Independence Avenue SW<br>MRC<br>Washington, DC 20013 | PC | For the book, "Yoga: The Art of Transformation"                                   | \$ | 6,000 |

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| Smithsonian Institution<br>Cooper-Hewitt, National Design<br>Museum<br>2 East 91st Street<br>New York, NY 10128 | PC | For the book, "The Life of a Mansion: The Story of<br>Cooper-Hewitt, Smithsonian Design Museum" | \$ | 4,000 |
| Solomon R. Guggenheim Foundation<br>1071 Fifth Avenue<br>New York, NY 10128                                     | PC | For the book, "Italian Futurism, 1909-1944:<br>Reconstructing the Universe"                     | \$ | 5,000 |
| Source Music Inc.<br>Cooper Station<br>P.O. Box 1066<br>New York, NY 10276-1066                                 | PC | General Support                                                                                 | \$ | 3,000 |
| Star Island Corporation<br>Morton-Benedict House<br>30 Middle Street<br>Portsmouth, NH 03801                    | PC | For the book, "Polaroid Vitae Vol. 4: Vaughn Cottage"                                           | \$ | 1,500 |
| Texas Agricultural and Mechanical<br>College System                                                             | PC | For the book, "The Ship That Held Up Wall Street:<br>Unearthing the Ronson Ship Wreck"          | \$ | 4,500 |
| The Battery Conservancy<br>One Whitehall Street<br>17th Floor<br>New York, NY 10004                             | PC | General Support                                                                                 | \$ | 7,500 |
| The Bronx Museum Of The Arts<br>1040 Grand Concourse<br>Bronx, NY 10456-3999                                    | PC | For the book, "Beyond the Supersquare: Art &<br>Architecture in Latin America after Modernism"  | \$ | 4,500 |
| The Center for Book Arts<br>28 West 27th Street<br>3rd Floor<br>New York, NY 10001                              | PC | General Support                                                                                 | \$ | 2,500 |
| Central Park Conservancy<br>14 East 60th Street, 8th Floor<br>New York, NY 10021                                | PC | For the book, "Painting Central Park"                                                           | \$ | 5,000 |

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| The George Washington Institute for Religious Freedom<br>50 Broad Street<br>Suite 1137<br>New York, NY 10004                              | PC | For the book, "A Genesis of Religious Freedom: The Jews of Newport RI and Touro Synagogue: Including Washington's Letter" | \$ | 3,500 |
| The Graduate School and University Center<br>The City University of New York<br>365 Fifth Avenue<br>Suite 8204<br>New York, NY 10016-4309 | PC | For the book, "Lost & Found: The CUNY Poetics Document Initiative, Volume 4, Fall 2013"                                   | \$ | 1,500 |
| The Library of America<br>14 East 60th Street<br>New York, NY 10022                                                                       | PC | General Support                                                                                                           | \$ | 2,000 |
| The Municipal Art Society of New York<br>111 West 57th Street<br>New York, NY 10019                                                       | PC | General Support                                                                                                           | \$ | 7,500 |
| The Museum of Fine Arts, Houston<br>Houston, TX 77005                                                                                     | PC | For the book, "American Adversaries: West and Copley in a Transatlantic World"                                            | \$ | 3,500 |
| The Museum of Fine Arts, Houston<br>Houston, TX 77005                                                                                     | PC | For the book, "Antonio Berni: Juanito and Ramona"                                                                         | \$ | 5,000 |
| The New Inquiry<br>70 Nevins #1<br>Brooklyn, NY 11217                                                                                     | PC | For the book, "How to Live Online: The Best Internet Criticism from 'TNI'"                                                | \$ | 2,500 |
| The New Press<br>38 Greene Street<br>4th Floor<br>New York, NY 10013                                                                      | PC | For the book, "The New Jim Crow"                                                                                          | \$ | 4,000 |
| The New-York Historical Society<br>Two West 77th Street<br>New York, NY 10024-5194                                                        | PC | For the book, "Making It Modern: The Folk Art Collection of Elie Nadelman"                                                | \$ | 5,000 |

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| The Olana Partnership<br>P.O. Box 199<br>5720 State Route 9G<br>Hudson, NY 12534-0199 | PC | General Support                                                                         | \$ | 5,000  |
| The Phillips Collection<br>1600 21st Street, NW<br>Washington, DC 20009               | PC | For the book, "American Voices: Masterworks from<br>The Phillips Collection, 1850-1960" | \$ | 4,500  |
| The Preservation League of New York<br>State<br>44 Central Lane<br>Albany, NY 12206   | PC | General Support                                                                         | \$ | 10,000 |
| The Public Theater<br>425 Lafayette Street<br>New York, NY 10003                      | PC | General Support                                                                         | \$ | 5,000  |
| The SS Columbia Project<br>232 East 11th Street<br>New York, NY 10003                 | PC | General Support                                                                         | \$ | 5,000  |
| The Woodstock School of Art<br>PO Box 338<br>2470 Route 212<br>Woodstock, NY 12498    | PC | General Support                                                                         | \$ | 1,000  |
| Time & Space Limited (TSL)<br>P.O. Box 343<br>434 Columbia Street<br>Hudson, NY 12534 | PC | General Support                                                                         | \$ | 2,500  |
| University of Chicago<br>5801 South Ellis Avenue<br>Chicago, IL 60637                 | PC | For the book, "Performing Images"                                                       | \$ | 4,500  |
| University of Delaware<br>Newark, DE 19716                                            | PC | For the book "Goya's War: Los Desastres de la Guerra"                                   | \$ | 3,000  |

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| University of Hawai'i at Manoa<br>School of Ocean & Earth Science &<br>Technology<br>Honolulu, HI 96822 | PC   | For the book, "Chinese Architecture in the Age of<br>Turnoil, 200-600"                                 | \$ | 6,500 |
| University of Pennsylvania Press<br>3905 Spruce Street<br>Philadelphia, PA 19104-4112                   | SO I | For the book, "Creating the Japanese Garden:<br>Landscape Inspirations, 1650-1950"                     | \$ | 6,000 |
| University of Virginia<br>Office of the President, Box 9011<br>Charlottesville, VA 22906                | PC   | For the book, "Easy On, Easy Off: The Urban<br>Pathology of America's Small Towns"                     | \$ | 7,000 |
| University Press of Mississippi, Inc.<br>3825 Ridgewood Road<br>Jackson, MS 39211-6492                  | PC   | For the book, "The Origins of Comics: From William<br>Hogarth to Winsor McCay"                         | \$ | 3,500 |
| WAMC Northeast Public Radio<br>318 Central Avenue<br>Albany, NY 12206-2522                              | PC   | General Support                                                                                        | \$ | 5,000 |
| Whatcom Museum<br>121 Prospect Avenue<br>Bellingham, WA 98225                                           | PC   | For th book, "Vanishing Ice"                                                                           | \$ | 4,000 |
| Winnakee Land Trust Inc.<br>P.O. Box 610<br>Rhinebeck, NY 12572                                         | PC   | General Support                                                                                        | \$ | 2,500 |
| Young Concert Artists, Inc.<br>250 West 57th Street<br>Suite 1222<br>New York, NY 10107                 | PC   | General Support                                                                                        | \$ | 2,500 |
| Society for Cultural Exchange<br>4729 Hatfield Street<br>Pittsburgh, pa 15201                           | PC   | For the Book: "Regenerative Infrastructure:2012 Land<br>Art Generator Initiative Fresh Kills Park NYC" | \$ | 5,000 |

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| Hudson River Foundation<br>17 Battery Place<br>Suite 915<br>New York, NY 10004               | PC | For the Documentary Hudson Rising!                                                          | \$ | 5,000   |
| Columbia University<br>New York, NY                                                          | PC | Paul Klebnikov Fund                                                                         | \$ | 5,000   |
| New Netherland<br>PO Box 2536<br>ESP Station<br>Albany, NY 12220                             | PC | For the book: "New Netherland in a nutshell: A Concise History of the Dutch Colony in N.A." | \$ | 3,500   |
| Vancouver Art Gallery<br>750 Hornby Street<br>Vancouver, BC<br>Canada                        | PC | For the book: "Grand Hotel"                                                                 | \$ | 7,500   |
| African Rainforest Conservancy<br>277 Broadway<br>Suite 210<br>New York, NY 10007            | PC | General Support                                                                             | \$ | 5,000   |
| Essential Information<br>P.O. Box 19405<br>1530 P Street, NW (20005)<br>Washington, DC 20036 | PC | General Support                                                                             | \$ | 100,000 |
| Essential Information<br>P.O. Box 19405<br>1530 P Street, NW (20005)<br>Washington, DC 20036 | PC | General Support                                                                             | \$ | 140,000 |
| Forest Ethics<br>One Haight Street<br>San Francisco, CA 94102                                | PC | General Support                                                                             | \$ | 75,000  |

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| Foundation for Sustainability and<br>Peacemaking in Mesoamerica<br>1501 Lisa Rae Drive<br>Round Rock, TX 78665 | PC | General Support                                                                                                                                                                                                                  | \$ | 14,000  |
| Free Africa Foundation<br>910 17th Street, NW, Suite 419<br>Washington, DC 20006                               | PC | General Support                                                                                                                                                                                                                  | \$ | 10,000  |
| Godwin-Ternbach Museum<br>405 Klapper Hall<br>65-30 Kissena Boulevard<br>Flushing, NY 11367                    | PC | For the exhibition, Biala: Vision and Memory                                                                                                                                                                                     | \$ | 15,000  |
| Non-Objectif Sud<br>560 Lorimer Street<br>Brooklyn, NY 11211                                                   | PC | General Support - Summer Program                                                                                                                                                                                                 | \$ | 11,000  |
| Poets House<br>10 River Terrace<br>New York, NY 10282-1240                                                     | PC | General Support in honor of their 25th Anniversary                                                                                                                                                                               | \$ | 100,000 |
| Public Citizen<br>1600 20th Street NW<br>Washington, DC 20010                                                  | PC | General Support                                                                                                                                                                                                                  | \$ | 25,000  |
| The Ensemble Studio Theatre<br>549 West 52nd Street<br>New York, NY 10019                                      | PC | General Support                                                                                                                                                                                                                  | \$ | 40,000  |
| The New York Foundation for the Arts<br>20 Jay Street, Suite 740<br>Brooklyn, NY 11201                         | PC | Artist Fund: awarded to Tom Breidenbach to<br>work on his non-fiction book IX XI; awarded to<br>Maxwell Lane for travel to Indonesia and related<br>expenses for completion of a series of books related to<br>The Buru Quartet; | \$ | 18,900  |
| The New York Foundation for the Arts<br>20 Jay Street, Suite 740<br>Brooklyn, NY 11201                         | PC | "Artspire" (NYFA Sponsorship Program) - For the<br>documentary film, Silent Witness by Edward Moran                                                                                                                              | \$ | 17,000  |



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| The San Francisco Art and Film Program<br>540 Alabama Street<br>San Francisco, CA 94110 | PC | General Support                            | \$ 10,000 | • |
| Zadock Pratt Museum<br>14540 Main Street<br>PO Box 333<br>Prattsville, NY 12468         | PC | General Support and Restoration Activities | \$ 15,000 |   |

### 3rd Generation Fund

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| Americans for Oxford<br>500 Fifth Avenue<br>32nd Floor<br>New York, NY 10110                                            | PC | For Exeter College's Annual Fund in honor of its 700th Anniversary                             | \$ | 10,000 |
| Americans for Oxford<br>500 Fifth Avenue<br>32nd Floor<br>New York, NY 10110                                            | PC | For the endowment of the History Fellowship, on occasion of Wadham College's 400th Anniversary | \$ | 10,000 |
| Annapolis Film Festival<br>c/o Filmsters<br>107 Annapolis Street<br>Suite J<br>Annapolis, MD 21401                      | PC | General Support                                                                                | \$ | 1,000  |
| Annapolis Opera Company<br>Maryland Hall for the Creative Arts<br>801 Chase Street<br>Suite 304A<br>Annapolis, MD 21401 | PC | General Support                                                                                | \$ | 1,000  |
| Annapolis Symphony Orchestra<br>801 Chase Street<br>Annapolis, MD 21401                                                 | PC | General Support                                                                                | \$ | 1,000  |
| Annapolis Symphony Orchestra<br>801 Chase Street<br>Annapolis, MD 21401                                                 | PC | General Support                                                                                | \$ | 1,500  |
| Atlas DIY<br>278 44th Street<br>2nd Floor<br>Brooklyn, NY 11232                                                         | PC | General Support                                                                                | \$ | 5,000  |

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| Ballet Theatre of Maryland<br>801 Chase Street<br>Annapolis, MD 21401                    | PC | General Support             | \$ | 1,000  |
| Barnard College<br>3009 Broadway<br>Box AS<br>New York, NY 10027-6598                    | PC | Grammar Enhancement Program | \$ | 7,500  |
| Barnard College<br>3009 Broadway<br>Box AS<br>New York, NY 10027-6598                    | PC | Grammar Enhancement Program | \$ | 7,500  |
| Bennington College<br>One College Drive<br>Bennington, VT 05201-6001                     | PC | 2012/2013 Annual Fund       | \$ | 5,000  |
| Boys & Girls Club of Kenosha Inc.<br>1330-52nd Street<br>Kenosha, WI 53140               | PC | General Support             | \$ | 2,500  |
| Brooklyn Kindergarten Society<br>57 Willoughby Street<br>4th Floor<br>Brooklyn, NY 11201 | PC | General Support             | \$ | 10,000 |
| BUILD<br>2385 Bay Road<br>Redwood City, CA 94063                                         | PC | General Support             | \$ | 5,000  |
| Calvert Institute for Policy Research<br>8 West Hamilton Street<br>Baltimore, MD 21201   | PC | General Support             | \$ | 1,000  |
| CASES<br>346 Broadway<br>3rd Floor West<br>New York, NY 10036                            | PC | General Support             | \$ | 5,000  |

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| Cato Institute<br>1000 Massachusetts Avenue, NW<br>Washington, DC 20001                                  | PC | General Support                                                                                        | \$ | 3,000  |
| Center of Help<br>1906 Forest Drive, Suite 2B<br>Annapolis, MD 21401                                     | PC | General Support                                                                                        | \$ | 2,500  |
| Chicago Public Media<br>Navy Pier<br>848 East Grand Avenue<br>Chicago, IL 60611                          | PC | General Support                                                                                        | \$ | 5,000  |
| Christodora<br>One East 53rd Street<br>Suite 1401<br>New York, NY 10022                                  | PC | General Support                                                                                        | \$ | 1,000  |
| City Parks Foundation<br>The Arsenal, Central Park<br>830 Fifth Avenue<br>New York, NY 10065             | PC | CityParks Tennis Program                                                                               | \$ | 10,000 |
| Colorado College<br>14 East Cache La Poudre Street<br>Colorado Springs, CO 80903-3298                    | PC | 2013/2014 Annual Fund                                                                                  | \$ | 5,000  |
| Community Foundation of Anne Arundel<br>County<br>914 Bay Ridge Road<br>Suite 220<br>Annapolis, MD 21403 | PC | \$1500 Anne Arundel Women Giving Together<br>Enndowment Fund (AA WGT) and<br>\$500 AA WGT General Fund | \$ | 2,000  |
| Compass Rose Studio Theater<br>P.O. Box 4152<br>Annapolis, MD 21403                                      | PC | General Support                                                                                        | \$ | 1,000  |

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| Concord Academy<br>166 Main Street<br>Concord, MA 01742                                                              | PC | General Support in honor of Janet Eisendrath,<br>inspirational teacher, History of Art, on the occasion of<br>her 90th birthday.                                               | \$ | 10,000 |
| Cypress Hills Local Development<br>Corporation<br>625 Jamaica Avenue<br>Brooklyn, NY 11208                           | PC | General Support                                                                                                                                                                | \$ | 5,000  |
| Doctors Without Borders<br>333 Seventh Avenue<br>2nd Floor<br>New York, NY 10001-5004                                | PC | General Support - Typhone                                                                                                                                                      | \$ | 10,000 |
| Doctors Without Borders<br>333 Seventh Avenue<br>2nd Floor<br>New York, NY 10001-5004                                | PC | General Support                                                                                                                                                                | \$ | 5,000  |
| DonorsChoose.org<br>213 West 35th Street<br>2nd Floor<br>New York, NY 10001                                          | PC | For Sebastian B. Clegg's Music Program at Mott<br>Haven Charter School                                                                                                         | \$ | 1,500  |
| Education Matters<br>10902 75th Street, #202<br>Kenosha, WI 53142                                                    | PC | Kenosha "Be the Change" School Program                                                                                                                                         | \$ | 5,000  |
| Endometriosis Foundation of America<br>90 Park Avenue<br>17th Floor<br>New York, NY 10016                            | PC | General Support                                                                                                                                                                | \$ | 10,000 |
| Family Service Prevention Education &<br>Counseling NFP<br>777 Central Avenue<br>Suite 17<br>Highland Park, IL 60035 | PC | Nuestro Center, a Latino family welcome<br>center in Highwood, Illinois that provides Latino<br>educational support and services initiated and<br>supported by Family Service. | \$ | 2,500  |

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| Food Link Inc.<br>2666 Riva Road, Suite 390<br>MS 8302<br>Annapolis, MD 21401                  | PC | General Support                                                                                           | \$ | 2,000  |
| Fractured Atlas<br>248 West 35th Street<br>10th Floor<br>New York, NY 10001                    | PC | For the short film entitled 'The Trouble I've Been Looking For', as part of the NYU graduate film program | \$ | 5,000  |
| Free Arts NYC<br>1431 Broadway<br>7th Floor<br>New York, NY 10018                              | PC | General Support                                                                                           | \$ | 5,000  |
| Getting Out and Staying Out<br>91 East 116th Street<br>New York, NY 10029                      | PC | General Support                                                                                           | \$ | 5,000  |
| Gilman School<br>5407 Roland Avenue<br>Baltimore, MD 21210                                     | PC | The Gilman Fund - 2013/2014                                                                               | \$ | 1,000  |
| Greater Homewood Community Corporation<br>3503 North Charles Street<br>Baltimore, MD 21218     | PC | General Support - Waverly Elementary/Middle School                                                        | \$ | 2,000  |
| Greene Hill School<br>39 Adelphi Street<br>Brooklyn, NY 11205                                  | PC | General Support                                                                                           | \$ | 5,000  |
| Grosse Pointe United Methodist Church<br>211 Moross Road<br>Grosse Pointe Farms, MI 48236-2950 | PC | General Support in honor of Evelyn Montgomery                                                             | \$ | 1,000  |
| Gulf of Maine Research Institute<br>350 Commercial Street<br>Portland, ME 04101                | PC | General Support                                                                                           | \$ | 15,000 |

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| Healthy Planet USA<br>PO Box 27371<br>San Francisco, CA 94127                               | PC | General Support         | \$ | 5,000  |
| IDignity<br>424 E. Central Blvd.<br>#199<br>Orlando, FL 32801                               | PC | General Support         | \$ | 5,000  |
| Institute for Justice<br>901 North Glebe Road<br>Suite 900<br>Arlington, VA 22203           | PC | General Support         | \$ | 3,000  |
| International Network for Public Schools<br>50 Broadway<br>Suite 2200<br>New York, NY 10004 | PC | General Support         | \$ | 5,000  |
| Island Institute<br>386 Main Street<br>P.O. Box 648<br>Rockland, ME 04841-0648              | PC | General Support         | \$ | 12,000 |
| Kenosha Christmas Charities Inc.<br>5800 7th Avenue<br>Kenosha, WI 53140-4131               | PC | General Support         | \$ | 2,500  |
| London Town Foundation, Inc.<br>839 Londontown Road<br>Edgewater, MD 21037-2120             | PC | General Support         | \$ | 1,000  |
| Maryland Charter School Network<br>4639 Falls Road<br>Baltimore, MD 21209                   | PC | General Support         | \$ | 1,000  |
| Maryland Federation of Art<br>18 State Circle<br>Annapolis, MD 21401                        | PC | Paint Annapolis Program | \$ | 1,000  |

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| Maryland Hall for the Creative Arts, Inc.<br>801 Chase Street<br>Annapolis, MD 21401        | PC | General Support                                                                | \$ | 5,000 |
| MASA<br>PO Box 935<br>Bronx, NY 10451                                                       | PC | General Support                                                                | \$ | 5,000 |
| Movement Strategy Center<br>Oakland, CA                                                     | PC | Game Changer Labs                                                              | \$ | 5,000 |
| Natural Resources Defense Council, Inc.<br>40 West 20th Street<br>New York, NY 10011        | PC | General Support - Midwest Regional Office                                      | \$ | 5,000 |
| New Foundation of Hope<br>8144-48 South Kedzie Avenue<br>Chicago, IL 60652                  | PC | General Support                                                                | \$ | 5,000 |
| New Foundation of Hope<br>8144-48 South Kedzie Avenue<br>Chicago, IL 60652                  | PC | General Support                                                                | \$ | 5,000 |
| North Country School<br>P.O. Box 187<br>4382 Cascade Road (Fed Ex)<br>Lake Placid, NY 12946 | PC | \$5,000 for 2012/2013 Annual Fund                                              | \$ | 5,000 |
| North Country School<br>P.O. Box 187<br>4382 Cascade Road (Fed Ex)<br>Lake Placid, NY 12946 | PC | \$5,000 for 2013/2014 Annual Fund                                              | \$ | 5,000 |
| North Country School<br>P.O. Box 187<br>4382 Cascade Road (Fed Ex)<br>Lake Placid, NY 12946 | PC | \$4,000 2013/2014 Annual Fund<br>\$1,000 toward The Reginald Gilliam Endowment | \$ | 5,000 |



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| North Country School<br>P.O. Box 187<br>4382 Cascade Road (Fed Ex)<br>Lake Placid, NY 12946    | PC | Julia Jonathan CTT Scholarship Fund                                                              | \$ | 5,000  |
| North Country School<br>P.O. Box 187<br>4382 Cascade Road (Fed Ex)<br>Lake Placid, NY 12946    | PC | 2012/2013 Annual Fund/Three by Friends Challenge                                                 | \$ | 10,000 |
| Open Space Institute, Inc.<br>1350 Broadway, Suite 201<br>New York, NY 10018-7799              | PC | General Support                                                                                  | \$ | 5,000  |
| Partners in Island Education<br>PO Box 664<br>Vinalhaven, ME 04863                             | PC | General Support                                                                                  | \$ | 2,500  |
| Planned Parenthood Federation of<br>America Inc.<br>434 West 33rd Street<br>New York, NY 10001 | PC | General Support                                                                                  | \$ | 2,500  |
| Planned Parenthood of Maryland<br>330 North Howard Street<br>Baltimore, MD 21201               | PC | General Support                                                                                  | \$ | 1,000  |
| Restore NYC<br>PO Box 1003<br>Bowling Green Station<br>New York, NY 10274                      | PC | General Support                                                                                  | \$ | 5,000  |
| Rift Valley Institute<br>1 St. Luke's Mews<br>London W11IDF<br>United Kingdom                  | PC | Two scholarships for regional participants in RVI<br>summer courses in and on the Horn of Africa | \$ | 10,000 |

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| Sadie Nash Leadership Project<br>157 Montague Street<br>Brooklyn, NY 11201                       | PC | General Support                        | \$ | 5,000  |
| Sadie Nash Leadership Project<br>157 Montague Street<br>Brooklyn, NY 11201                       | PC | General Support                        | \$ | 10,000 |
| Saint Ann's School<br>129 Pierrepont Street<br>Brooklyn Heights, NY 11201                        | PC | Annual Fund                            | \$ | 10,500 |
| Sanctuary for Families<br>P.O. Box 1406<br>Wall Street Station<br>New York, NY 10268             | PC | General Support                        | \$ | 5,000  |
| SPCA of Anne Arundel County, MD<br>1815 Bay Ridge Avenue<br>Annapolis, MD 21403                  | PC | General Support                        | \$ | 1,000  |
| St. Ann's Warehouse<br>55 Washington Avenue<br>#458<br>Brooklyn, NY 11201                        | PC | The Tobacco Warehouse Capital Campaign | \$ | 20,000 |
| St. John's College<br>60 College Avenue<br>Annapolis, MD 21404                                   | PC | 2013/2014 Annual Fund                  | \$ | 25,000 |
| Team Rubicon<br>1030 W. Hillcrest Boulevard<br>Los Angeles, CA 90301                             | PC | General Support                        | \$ | 5,000  |
| The Bryn Mawr School for Girls of<br>Baltimore City<br>109 W. Melrose Ave<br>Baltimore, MD 21210 | PC | 2013/2014 Annual Fund                  | \$ | 20,000 |

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| The Green-Wood Historic Fund<br>500 25th Street at Fifth Avenue<br>Brooklyn, NY 11232  | PC  | The Historic Fund                                                                                          | \$ | 5,000  |
| The Key School<br>534 Hillsmere Drive<br>Annapolis, MD 21403                           | PC  | 2012/2013 Annual Fund                                                                                      | \$ | 2,500  |
| The Marion Institute<br>202 Spring Street<br>Marion, MA 02738                          | PC  | S.A.F.E. Kenya - General Support                                                                           | \$ | 10,000 |
| The New Press<br>38 Greene Street<br>4th Floor<br>New York, NY 10013                   | PC  | Internship Program                                                                                         | \$ | 5,000  |
| The New Press<br>38 Greene Street<br>4th Floor<br>New York, NY 10013                   | PC  | Internship Program                                                                                         | \$ | 5,000  |
| The New York Foundation for the Arts<br>20 Jay Street, Suite 740<br>Brooklyn, NY 11201 | PC  | Artist Fund: awarded to Alf Bishai for a series of forums for the creation and performance of "new music"; | \$ | 20,000 |
| The Shakespeare Society<br>118-122 Baxter Street<br>Suite 705<br>New York, NY 10013    | PC  | General Support                                                                                            | \$ | 25,000 |
| The Walters Art Museum<br>600 North Charles Street<br>Baltimore, MD 21201              | SOI | FY 2014 Annual Giving Campaign that supports its programming and exhibitions.                              | \$ | 12,500 |
| Triangle Arts Association<br>20 Jay Street<br>Suite 318<br>Brooklyn, NY 11201          | PC  | General Support                                                                                            | \$ | 5,000  |

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| Volunteers of Legal Service<br>281 Park Avenue<br>5th Floor<br>New York, NY 10010 | PC | Dream Not Deferred Program                                                                                                                                                                                          | \$ | 5,000  |
| Wellness House of Annapolis<br>2625 Mas Que Farm Road<br>Annapolis, MD 21403      | PC | General Support                                                                                                                                                                                                     | \$ | 1,000  |
| WHEDco<br>50 East 168th Street<br>Bronx, NY 10452                                 | PC | General Support                                                                                                                                                                                                     | \$ | 5,000  |
| YWCA of Brooklyn<br>30 Third Avenue<br>Brooklyn, NY 11217                         | PC | Eliminating Racism Empowering Women, A Case Management Model Program - to support the hire of a case manager to work with a group of YWCA residents who are domestic violence survivors with trauma-related issues. | \$ | 12,500 |
| The Alex Fund<br>211 West 106th Street<br>#4A<br>New York, NY 10025               | PC | Ovidiuro helps Romanian schools and communities successfully integrate impoverished children into the education system at the appropriately early age                                                               | \$ | 25,500 |
| Stanford University<br>326 Galvez Street<br>Stanford, CA ` 94086                  | PC | The Stanford Fund for Undergraduate Education                                                                                                                                                                       | \$ | 31,000 |
| Stanford University<br>326 Galvez Street<br>Stanford, CA ` 94086                  | PC | The Stanford Fund for Undergraduate Education                                                                                                                                                                       | \$ | 25,000 |

**Other Discretionary Grants**

|                                                                                                                                     |    |                                              |    |       |
|-------------------------------------------------------------------------------------------------------------------------------------|----|----------------------------------------------|----|-------|
| American Foundation for Suicide Prevention<br>120 Wall Street<br>29th Floor<br>New York, NY 10005                                   | PC | General Support                              | \$ | 75    |
| Autism Speaks<br>2 Park Avenue<br>11th Floor<br>New York, NY 10016                                                                  | PC | General Support                              | \$ | 75    |
| Children's Hospital Foundation at Westchester Medical Center<br>100 Woods Road<br>Taylor Pavilion<br>Suite C3<br>Valhalla, NY 10595 | PC | Go the Distance Walk<br>Team: Remember Jenna | \$ | 75    |
| Chore Service<br>322 Main Street, 2nd Floor<br>PO Box 522<br>Lakeville, CT 06039                                                    | PC | General Support                              | \$ | 150   |
| Girl Scouts Heart of the Hudson<br>2 Great Oak Lane<br>Pleasantville, NY 10570                                                      | PC | General Support                              | \$ | 75    |
| Holy Rosary Church<br>170 Bradhurst Avenue<br>Hawthorne, NY 10532                                                                   | PC | General Support                              | \$ | 1,680 |
| Hotchkiss Library of Sharon<br>10 Upper Main Street<br>P.O. Box 277<br>Sharon, CT 06069                                             | PC | General Support                              | \$ | 150   |

|                                                                                                           |    |                                |    |     |
|-----------------------------------------------------------------------------------------------------------|----|--------------------------------|----|-----|
| Little Guild of St. Francis<br>285 Sharon Goshen Turnpike<br>West Cornwall, CT 06796                      | PC | General Support                | \$ | 75  |
| Memorial Sloan-Kettering Cancer Center<br>1275 York Avenue<br>New York, NY 10021                          | PC | General Support                | \$ | 75  |
| National Audubon Society<br>225 Varick Street<br>New York, NY 10014                                       | PC | Sharon Audubon/General Support | \$ | 150 |
| Pets for the Elderly Foundation<br>530 E Hunt Highway<br>Suite 103<br>PMB 472<br>San Tan Valley, AZ 85143 | PC | General Support                | \$ | 150 |
| Philanthropy New York<br>79 Fifth Avenue<br>Fourth Floor<br>New York, NY 10003-3076                       | PC | General Support                | \$ | 450 |
| Philanthropy New York<br>79 Fifth Avenue<br>Fourth Floor<br>New York, NY 10003-3076                       | PC | General Support                | \$ | 450 |
| Salisbury Visiting Nurse Association<br>30A Salmon Kill Road<br>Salisbury, CT 06068                       | PC | General Support                | \$ | 75  |
| Sharon Community Foundation Inc.<br>PO Box 385<br>Sharon, CT 06069                                        | PC | General Support                | \$ | 150 |
| Sharon Day Care Center<br>PO Box 1031<br>80 Hilltop Road<br>Sharon, CT 06069                              | PC | Sharon Classic Road Race       | \$ | 150 |

|                                                                                        |    |                                          |    |     |
|----------------------------------------------------------------------------------------|----|------------------------------------------|----|-----|
| Sharon Day Care Center<br>PO Box 1031<br>80 Hilltop Road<br>Sharon, CT 06069           | PC | General Support                          | \$ | 150 |
| Sharon Fire Department Inc.<br>36 West Main Street<br>P.O. Box 357<br>Sharon, CT 06069 | PC | General Support                          | \$ | 300 |
| Sharon Fire Department Inc.<br>36 West Main Street<br>P.O. Box 357<br>Sharon, CT 06069 | PC | Sharon Ambulance Fund                    | \$ | 300 |
| Sharon Green Preservation Association<br>Inc.<br>P.O. Box 1461<br>Sharon, CT 06069     | PC | General Support                          | \$ | 150 |
| Sharon Historical Society<br>18 Main Street<br>P.O. Box 511<br>Sharon, CT 06069        | PC | SHS Conservation & Preservation Campaign | \$ | 750 |
| Sharon Land Trust Inc.<br>P.O. Box 1027<br>Sharon, CT 06069                            | PC | General Support                          | \$ | 150 |
| Sharon Woman's Club<br>PO Box 283<br>Sharon, CT 06069                                  | PC | SWC Scholarship Fund                     | \$ | 150 |
| Sharon Woman's Club<br>PO Box 283<br>Sharon, CT 06069                                  | PC | HYSB Summer Internship Program           | \$ | 150 |

|                                                                                                           |    |                      |    |       |
|-----------------------------------------------------------------------------------------------------------|----|----------------------|----|-------|
| St. Jude Children's Research Hospital<br>262 Danny Thomas Place<br>Memphis, TN 38105-3678                 | PC | St. Jude Math-A-Thon | \$ | 90    |
| Support Center for Nonprofit<br>Management<br>305 Seventh Avenue<br>11th Floor<br>New York, NY 10001-6008 | PC | General Support      | \$ | 750   |
| Support Center for Nonprofit<br>Management<br>305 Seventh Avenue<br>11th Floor<br>New York, NY 10001-6008 | PC | General Support      | \$ | 750   |
| The Leukemia & Lymphoma Society<br>1311 Mamaroneck Avenue<br>White Plains, NY 10605                       | PC | General Support      | \$ | 75    |
| Tour De Force<br>156 E. Main Street<br>PO Box 395<br>Washingtonville, NY 10992                            | PC | General Support      | \$ | 1,500 |
| Women's Support Services<br>158 Gay Street<br>PO Box 341<br>Sharon, CT 06069                              | PC | General Support      | \$ | 75    |
| Wounded Warrior Project<br>370 7th Avenue<br>New York, NY 10001                                           | PC | General Support      | \$ | 150   |
| YAI/National Institute for People with<br>Disabilities<br>460 West 34th Street<br>New York, NY 10001-2382 | PC | General Support      | \$ | 75    |



|                                                                                                      |    |                                                                                                  |    |        |
|------------------------------------------------------------------------------------------------------|----|--------------------------------------------------------------------------------------------------|----|--------|
| Community Foundations of the Hudson Valley<br>80 Washington Street<br>Poughkeepsie, NY 12601         | PC | Roosevelt-Vanderbilt Conservancy                                                                 | \$ | 5,000  |
| Environmental Advocates<br>353 Hamilton Street<br>Albany, NY 12210                                   | PC | General Support                                                                                  | \$ | 2,500  |
| National Audubon Society<br>225 Varick Street<br>New York, NY 10014                                  | PC | Florida Invasive Species Task Force                                                              | \$ | 30,000 |
| Riverkeeper<br>20 Secor Road<br>Ossining, NY 10562                                                   | PC | General Support                                                                                  | \$ | 7,000  |
| Save Our Ships New York<br>100 West 72nd Street<br>Suite 6G<br>New York, NY 10023                    | PC | Fireboat John J. Harvey                                                                          | \$ | 2,500  |
| The Cultural Landscape Foundation<br>1711 Connecticut Avenue NW<br>Suite 200<br>Washington, DC 20009 | PC | Nicholas Quennell Oral History Project                                                           | \$ | 1,000  |
| Mayo Clinic Arizona<br>13400 East Shea Boulevard<br>Scottsdale, AZ 85251                             | PC | To support the endowment for the General Operations Fund of Mayo Medical School - Arizona Campus | \$ | 40,000 |
| Storm King Art Center<br>P.O. Box 280<br>Old Pleasant Hill Road<br>Mountainville, NY 10953           | PC | General Support                                                                                  | \$ | 5,000  |

|                                                                                                                        |    |                                                                                        |    |        |
|------------------------------------------------------------------------------------------------------------------------|----|----------------------------------------------------------------------------------------|----|--------|
| The Brearley School<br>610 East 83rd Street<br>New York, NY 10028                                                      | PC | 2013-14 Annual Fund                                                                    | \$ | 5,000  |
| The Center for Humans and Nature<br>20 North Wacker Drive<br>Suite 1422<br>Chicago, IL 60606                           | PC | General Support                                                                        | \$ | 5,000  |
| The Dalton School<br>108 East 89th Street<br>New York, NY 10128-1599                                                   | PC | 2013-14 Annual Fund                                                                    | \$ | 20,000 |
| Yale University<br>New Haven, CT 06510-7003                                                                            | PC | Yale Alumni Fund                                                                       | \$ | 5,000  |
| Brooklyn Museum of Art<br>200 Eastern Parkway<br>Brooklyn, NY 11238                                                    | PC | The Alice Prize - For the publication, "Youth and Beauty: Art of the American Twenties | \$ | 25,000 |
| Philanthropy New York<br>79 Fifth Avenue<br>Fourth Floor<br>New York, NY 10003-3076                                    | PC | General Support/Membership                                                             | \$ | 15,100 |
| Consultative Group on Biological Diversity<br>Presidio Building 1016<br>P.O. Box 29361<br>San Francisco, CA 94129-0361 | PC | General Support/Membership                                                             | \$ | 6,500  |
| Grantmakers Concerned with Immigrants<br>P.O. Box 1100<br>Sebastopol, CA 95473                                         | PC | General Support/Membership                                                             | \$ | 3,000  |

|                                                                                                   |    |                                 |    |         |
|---------------------------------------------------------------------------------------------------|----|---------------------------------|----|---------|
| City Parks Alliance<br>2121 Ward Court, NW<br>5th Floor<br>Washington, DC 20037                   | PC | General Support/Membership      | \$ | 2,500   |
| Association of Small Foundations<br>1720 N Street, NW<br>Washington, DC 20036                     | PC | General Support/Membership      | \$ | 2,000   |
| Foundation Financial Officers Group<br>216 W. Jackson Boulevard<br>Suite 625<br>Chicago, IL 60606 | PC | General Support/Membership      | \$ | 2,000   |
| Grants Managers Network<br>1666 K Street, NW<br>Suite 440<br>Washington, DC 20006                 | PC | General Support/Membership      | \$ | 2,000   |
| Environmental Grantmakers Association<br>475 Riverside Drive<br>Suite 902<br>New York, NY 10015   | PC | General Support/Membership      | \$ | 5,450   |
| Saint Ann's School<br>129 Pierrepont Street<br>Brooklyn Heights, NY 11201                         | PC | Campaign for Saint Ann's School | \$ | 200,000 |

**Total Grants Paid in 2013**      **\$**      **6,006,020**

FORM 990PF, PART XV - CONTRIBUTIONS APPROVED FOR FUTURE PAYMENT

ATTACHMENT 23

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

SEE STATEMENT ATTACHED

NONE

PUBLIC

SEE SCHEDULE ATTACHED

1,327,800.

TOTAL CONTRIBUTIONS APPROVED

1,327,800.

**The J.M. Kaplan Fund, Inc.**

**List of Grants Payable**

**31-Dec-13**

**EIN: 13-6090286**

**Program Grants**

| Organization                                                                         | Status    | Description                                                                                                                                                            | Amount    |
|--------------------------------------------------------------------------------------|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| Regional Plan Association<br>4 Irving Place, 7th Floor<br>New York, NY 10003         | PC        | General Support                                                                                                                                                        | \$ 21,800 |
| McGill Queens University Press<br>Friends of McGill University<br>New York, NY 10087 | PC        | For the book "The Once & Future Great Lakes<br>County An Ecological History"                                                                                           | \$ 5,500  |
| Donor's Trust<br>109 North Henry Street<br>Alexandria, VA 22314                      | PC        | For the Philanthropic Enterprise, a project<br>merging the activities of the project for New<br>Philanthropy Studies & the Fund for the Study of<br>Spontaneous Orders | \$ 50,000 |
| Cotidiano Mujer<br>San Jose 1436<br>Montevideo C.P. 11 200<br>URUGUAY                | PC        | "Nunca en Domingo" (Never on Sunday) Radio<br>Program                                                                                                                  | \$ 50,000 |
| Irish Georgian Society<br>New York, NY 10128                                         |           | General Operating Support                                                                                                                                              | \$ 10,000 |
| Irish Georgian Society<br>New York, NY 10128                                         |           | General Operating Support                                                                                                                                              | \$ 20,000 |
| Stanford University<br>326 Galvez Street<br>Stanford, CA 94086                       | PC        | The Stanford Fund for Undergraduate Education                                                                                                                          | \$ 25,000 |
| Stanford University<br>326 Galvez Street<br>Stanford, CA 94086                       | PC        | The Stanford Fund for Undergraduate Education                                                                                                                          | \$ 25,000 |
| Penn Praxis<br>409 Duhring Wing<br>School of Design                                  | SOIII NFI | Kaplan Fellowship for Certification in the<br>Conservation & Management of Archaeological<br>Sites for Turkish Nationals                                               | \$ 37,500 |

|                                                                                                                    |    |                                                                                                 |    |         |  |
|--------------------------------------------------------------------------------------------------------------------|----|-------------------------------------------------------------------------------------------------|----|---------|--|
| Philadelphia, PA 19104                                                                                             |    |                                                                                                 |    |         |  |
| German Archaeological Institute<br>Inonu Caddesi, 10<br>34437<br>Istanbul<br>Turkey                                | PC | Conservation of Three Terraced Hellenistic<br>Gymnasium at Pergamon                             | \$ | 50,000  |  |
| Global Heritage Fund<br>625 Emerson Street<br>Suite 200<br>Palo Alto, CA 94301                                     | PC | Conservation of the World's First Temple at Gobekli<br>Tepe                                     | \$ | 40,000  |  |
| University of Wisconsin<br>1848 University Avenue<br>P O Box 8860<br>Madison, WI                                   | PC | Conservation and Column Reconstruction of the<br>Greek and Roman Agora at Troy                  | \$ | 40,000  |  |
| New York University<br>New York, NY                                                                                | PC | Anastylosis of the Propylon of the<br>Sebasteion at Aphrodisias                                 | \$ | 50,000  |  |
| New York University<br>New York, NY                                                                                | PC | Anastylosis of the Propylon of the<br>Sebasteion at Aphrodisias                                 | \$ | 50,000  |  |
| Stanford University<br>326 Galvez Street<br>Stanford, CA 94086                                                     | PC | First Ever Comprehensive Conservation Partnership<br>and Training Program at Catalhoyuk, Turkey | \$ | 50,000  |  |
| Saint Ann's School<br>129 Pierrepont Street<br>Brooklyn Heights, NY 11201                                          | PC | Campaign for Saint Ann's School                                                                 | \$ | 250,000 |  |
| Saint Ann's School<br>129 Pierrepont Street<br>Brooklyn Heights, NY 11201                                          | PC | Campaign for Saint Ann's School                                                                 | \$ | 250,000 |  |
| Saint Ann's School<br>129 Pierrepont Street<br>Brooklyn Heights, NY 11201                                          | PC | Campaign for Saint Ann's School                                                                 | \$ | 250,000 |  |
| Red Hook Initiative<br>767 Hicks Street<br>Brooklyn, NY 11231                                                      | PC | General Support                                                                                 | \$ | 5,000   |  |
| Michigan Technological University<br>Lakeshore Center, 3rd Floor<br>1400 Townsend Drive<br>Houghton, MI 49931-1295 | PC | To Create the First-Ever Comprehensive Nationwide<br>Inventory of Industrial Heritage Resources | \$ | 25,000  |  |
| Istanbul Kultur University                                                                                         | PC | Second Conservation Training Seminar for Turkish                                                | \$ | 23,000  |  |

ES Freeway Bakirkoy 34156  
Istanbul  
TURKEY

Site Managers and Assistant Site Managers

Grants Payable

\$ 1,327,800

FORM 990-PF, PART XVI-A - ANALYSIS OF PROGRAM SERVICE REVENUE

ATTACHMENT 23

| <u>DESCRIPTION</u>          | <u>BUSINESS</u> |               | <u>EXCLUSION</u> |               | <u>RELATED OR EXEMPT</u> |               |
|-----------------------------|-----------------|---------------|------------------|---------------|--------------------------|---------------|
|                             | <u>CODE</u>     | <u>AMOUNT</u> | <u>CODE</u>      | <u>AMOUNT</u> | <u>FUNCTION</u>          | <u>INCOME</u> |
| PRI INCOME AND OTHER INCOME |                 |               |                  | 3,127.        |                          |               |
| TOTALS                      |                 |               |                  | <u>3,127.</u> |                          |               |



FORM 990-PF, PART XVI-A - ANALYSIS OF OTHER REVENUEATTACHMENT 24

| DESCRIPTION        | BUSINESS<br>CODE | EXCLUSION       |      | RELATED OR EXEMPT<br>FUNCTION INCOME |
|--------------------|------------------|-----------------|------|--------------------------------------|
|                    |                  | AMOUNT          | CODE |                                      |
| PARTNERSHIP INCOME | 900099           | 107,829.        | 18   |                                      |
| RETURN OF GRANTS   |                  |                 |      | 118,850.                             |
| FEDERAL TAX REFUND |                  |                 |      | 57,407.                              |
| TOTALS             |                  | <u>107,829.</u> |      | <u>176,257.</u>                      |

