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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

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OMB No 1545-0052

**2013**

Open to Public Inspection

For calendar year 2013 or tax year beginning

, 2013, and ending

, 20

Name of foundation <b>GRAHAM FOUNDATION FOR ADVANCED STUDIES IN THE FINE ARTS</b>		A Employer identification number <b>36-2356089</b>
Number and street (or P O box number if mail is not delivered to street address) <b>4 WEST BURTON</b>	Room/suite	B Telephone number (see instructions) <b>(312) 787-4071</b>
City or town, state or province, country, and ZIP or foreign postal code <b>CHICAGO, IL 60610-1416</b>		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change		D 1. Foreign organizations, check here <input type="checkbox"/> 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 <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) <b>\$ 46,298,849.</b>	J Accounting method <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule) if the foundation is not required to attach Sch B <input checked="" type="checkbox"/>				
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	1,318.	1,318.		
	4 Dividends and interest from securities	360,956.	352,088.		ATCH 1
	5a Gross rents	375.	375.		
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	747,812.			
	b Gross sales price for all assets on line 6a	1,014,594.			
	7 Capital gain net income (from Part IV, line 2)		1,014,594.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances	12,672.			
b Less Cost of goods sold	8,116.				
c Gross profit or (loss) (attach schedule)	4,556.				
11 Other income (attach schedule) ATCH 2	278.	99,065.			
12 Total. Add lines 1 through 11	1,115,295.	1,467,440.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.	161,405.			161,405.
	14 Other employee salaries and wages	326,852.			326,852.
	15 Pension plans, employee benefits	84,132.			84,132.
	16a Legal fees (attach schedule) ATCH 3	15,688.			15,688.
	b Accounting fees (attach schedule) ATCH 4	106,384.			106,384.
	c Other professional fees (attach schedule) *	343,431.	175,167.		38,845.
	17 Interest				
	18 Taxes (attach schedule) (see instructions) ATCH 6	66,814.	5,357.		41,114.
	19 Depreciation (attach schedule) and depletion	86,815.			
	20 Occupancy	52,275.			52,275.
	21 Travel, conferences, and meetings	64,590.			64,590.
	22 Printing and publications	6,905.			6,905.
	23 Other expenses (attach schedule) ATCH 7	281,074.	141,826.		281,074.
	24 Total operating and administrative expenses. Add lines 13 through 23	1,596,365.	322,350.		1,179,264.
25 Contributions, gifts, grants paid	1,002,885.			932,885.	
26 Total expenses and disbursements. Add lines 24 and 25	2,599,250.	322,350.	0	2,112,149.	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	-1,483,955.				
b Net investment income (if negative, enter -0-)		1,145,090.			
c Adjusted net income (if negative, enter -0-)					

Part II Balance Sheets		Beginning of year		End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value	
Assets	1 Cash - non-interest-bearing . . . . .	1,295,913.	175,091.	175,091.	
	2 Savings and temporary cash investments . . . . .	5,085.	353,549.	353,549.	
	3 Accounts receivable ▶ 8,220.				
	Less allowance for doubtful accounts ▶ . . . . .	74,402.	8,220.	8,220.	
	4 Pledges receivable ▶ . . . . .				
	Less allowance for doubtful accounts ▶ . . . . .				
	5 Grants receivable . . . . .				
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .				
	7 Other notes and loans receivable (attach schedule) ▶ . . . . .				
	Less allowance for doubtful accounts ▶ . . . . .				
	8 Inventories for sale or use . . . . .	18,553.	20,583.	20,583.	
	9 Prepaid expenses and deferred charges . . . . .	26,992.	1,066,433.	1,066,433.	
	10 a Investments - U.S. and state government obligations (attach schedule) . . . . .				
	b Investments - corporate stock (attach schedule) ATCH 8 . . . . .	9,782,213.	12,008,981.	12,008,981.	
	c Investments - corporate bonds (attach schedule) ATCH 9 . . . . .	14,734,442.	14,824,210.	14,824,210.	
	Liabilities	11 Investments - land, buildings, and equipment basis . . . . .			
Less accumulated depreciation (attach schedule) ▶ . . . . .					
12 Investments - mortgage loans . . . . .					
13 Investments - other (attach schedule) ATCH 10 . . . . .		15,141,120.	16,622,538.	16,622,538.	
14 Land, buildings, and equipment basis . . . . .		2,582,628.			
Less accumulated depreciation (attach schedule) ▶ . . . . .		1,363,384.	1,219,244.	1,219,244.	
15 Other assets (describe ▶ . . . . .)					
16 Total assets (to be completed by all filers - see the instructions Also, see page 1, item I) . . . . .		42,354,623.	46,298,849.	46,298,849.	
17 Accounts payable and accrued expenses . . . . .		18,469.	23,696.		
18 Grants payable . . . . .		5,000.	70,000.		
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 ▶ . . . . .)					
23 Total liabilities (add lines 17 through 22) . . . . .	23,469.	93,696.			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here, ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24 Unrestricted . . . . .	39,628,512.	43,239,124.		
	25 Temporarily restricted . . . . .	1,652,642.	1,916,029.		
	26 Permanently restricted . . . . .	1,050,000.	1,050,000.		
	Foundations that do not follow SFAS 117, . . . ▶ <input type="checkbox"/> check here and complete lines 27 through 31.				
	27 Capital stock, trust principal, or current funds . . . . .				
	28 Paid-in or capital surplus, or land, bldg, and equipment fund . . . . .				
	29 Retained earnings, accumulated income, endowment, or other funds . . . . .				
	30 Total net assets or fund balances (see instructions) . . . . .	42,331,154.	46,205,153.		
	31 Total liabilities and net assets/fund balances (see instructions) . . . . .	42,354,623.	46,298,849.		

## 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	42,331,154.
2 Enter amount from Part I, line 27a . . . . .	2	-1,483,955.
3 Other increases not included in line 2 (itemize) ▶ ATCH 11 . . . . .	3	5,357,954.
4 Add lines 1, 2, and 3 . . . . .	4	46,205,153.
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	46,205,153.

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**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)			(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
<b>1a</b> SEE PART IV SCHEDULE					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
(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)		
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69					
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))		
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
<b>2</b> 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 }			<b>2</b>	1,014,594.	
<b>3</b> 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			<b>3</b>	0	

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	1,972,401.	39,682,121.	0.049705
2011	2,082,974.	40,522,276.	0.051403
2010	1,989,994.	39,014,240.	0.051007
2009	1,700,109.	34,301,029.	0.049564
2008	2,556,661.	40,434,424.	0.063230
<b>2</b> Total of line 1, column (d)			<b>2</b> 0.264909
<b>3</b> 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			<b>3</b> 0.052982
<b>4</b> Enter the net value of noncharitable-use assets for 2013 from Part X, line 5			<b>4</b> 42,073,255.
<b>5</b> Multiply line 4 by line 3			<b>5</b> 2,229,125.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)			<b>6</b> 11,451.
<b>7</b> Add lines 5 and 6			<b>7</b> 2,240,576.
<b>8</b> Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions			<b>8</b> 2,112,149.

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

1 a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 . . . . .			
Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b . . . . .		1	22,902.
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	22,902.
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	22,902.
6 Credits/Payments			
a 2013 estimated tax payments and 2012 overpayment credited to 2013 . . . . .	6a	34,108.	
b Exempt foreign organizations - tax withheld at source . . . . .	6b		
c Tax paid with application for extension of time to file (Form 8868) . . . . .	6c		
d Backup withholding erroneously withheld . . . . .	6d		
7 Total credits and payments Add lines 6a through 6d . . . . .	7	34,108.	
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	11,206.	
11 Enter the amount of line 10 to be Credited to 2014 estimated tax <input type="checkbox"/> 11,206. Refunded <input type="checkbox"/> <input type="checkbox"/>	11		

**Part VII-A Statements Regarding Activities**

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

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions).	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
Website address <b>WWW.GRAHAMFOUNDATION.ORG</b>				
14	The books are in care of <b>SARAH HERDA</b> Telephone no <b>312-787-4071</b>			
Located at <b>4 WEST BURTON, CHICAGO, IL</b> ZIP+4 <b>60610-1416</b>				
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year <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? 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	
			X	

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly)		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input 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"/> 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 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.) <b>2b</b>		
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>2c</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.) <b>3b</b>		
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? <b>4a</b>		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? <b>4b</b>		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)? ☐ **5b** ☒ X

Organizations relying on a current notice regarding disaster assistance check here ☐

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

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

**6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? ☐ **6b** ☒ X

If "Yes" to 6b, file Form 8870

**7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ **7b**

**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
ATCH 12		149,368.	12,037.	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 13		199,962.	16,050.	0

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

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
ATCH 14		66,408.

Total number of others receiving over \$50,000 for professional services . . . . . ▶

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

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

Expenses

1 N/A	
2	
3	
4	

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

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

Amount

1 NOT APPLICABLE	
2	
All other program-related investments See instructions	
3 NONE	
Total. Add lines 1 through 3 . . . . . ▶	

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

<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>	41,457,532.
<b>b</b>	Average of monthly cash balances	<b>1b</b>	1,256,432.
<b>c</b>	Fair market value of all other assets (see instructions)	<b>1c</b>	
<b>d</b>	Total (add lines 1a, b, and c)	<b>1d</b>	42,713,964.
<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>	42,713,964.
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	640,709.
<b>5</b>	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	<b>5</b>	42,073,255.
<b>6</b>	Minimum investment return. Enter 5% of line 5	<b>6</b>	2,103,663.

**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>	2,103,663.
<b>2a</b>	Tax on investment income for 2013 from Part VI, line 5	<b>2a</b>	22,902.
<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>	22,902.
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1.	<b>3</b>	2,080,761.
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	28,882.
<b>5</b>	Add lines 3 and 4	<b>5</b>	2,109,643.
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	
<b>7</b>	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	<b>7</b>	2,109,643.

**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>	2,112,149.
<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>	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	<b>4</b>	2,112,149.
<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>	Adjusted qualifying distributions. Subtract line 5 from line 4.	<b>6</b>	2,112,149.

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

Form 990-PF (2013)

Page **9****Part XIII Undistributed Income** (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7 . . . . .				2,109,643.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only . . . . .			4,604.	
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 . . . . .				
b From 2009 . . . . .				
c From 2010 . . . . .				
d From 2011 . . . . .				
e From 2012 . . . . .				
f Total of lines 3a through e . . . . .				
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ <u>2,112,149.</u>				
a Applied to 2012, but not more than line 2a . . . . .			4,604.	
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 . . . . .				2,107,545.
e Remaining amount distributed out of corpus . . . . .				
5 Excess distributions carryover applied to 2013 . . . . . (If an amount appears in column (d), the same amount must be shown in column (a) )				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
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 . . . . .				2,098.
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) . . . . .				
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a . . . . .		0		
10 Analysis of line 9				
a Excess from 2009 . . . . .				
b Excess from 2010 . . . . .				
c Excess from 2011 . . . . .				
d Excess from 2012 . . . . .				
e Excess from 2013 . . . . .				

Form **990-PF** (2013)



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

Recipient		If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)					
<b>a Paid during the year</b>					
SEE ATTACHED STATEMENT		NONE		PROGRAM SUPPORT	932,885.

## Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions )
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount		
<b>1</b> Program service revenue						
a _____						
b _____						
c _____						
d _____						
e _____						
f _____						
g Fees and contracts from government agencies						
<b>2</b> Membership dues and assessments . . . . .						
<b>3</b> Interest on savings and temporary cash investments			14	1,318.		
<b>4</b> Dividends and interest from securities . . . . .	525990		14	360,956.		
<b>5</b> Net rental income or (loss) from real estate						
a Debt-financed property . . . . .						
b Not debt-financed property . . . . .						
<b>6</b> Net rental income or (loss) from personal property .			16	375.		
<b>7</b> Other investment income . . . . .						
<b>8</b> Gain or (loss) from sales of assets other than inventory	525990		18	747,812.		
<b>9</b> Net income or (loss) from special events . . .						
<b>10</b> Gross profit or (loss) from sales of inventory . .						4,556.
<b>11</b> Other revenue a _____						
b ATCH 16 _____		278.				
c _____						
d _____						
e _____						
<b>12</b> Subtotal Add columns (b), (d), and (e) . . . . .		278.		1,110,461.		4,556.
<b>13</b> Total. Add line 12, columns (b), (d), and (e) . . . . .				13		1,115,295.

(See worksheet in line 13 instructions to verify calculations )

[illegible]

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

- |  |              |     |    |
|--|--------------|-----|----|
| <b>1</b> Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?   |              | Yes | No |
| <b>a</b> Transfers from the reporting foundation to a noncharitable exempt organization of   |              |     |    |
| <b>(1)</b> Cash  | <b>1a(1)</b> |     | X  |
| <b>(2)</b> Other assets  | <b>1a(2)</b> |     | X  |
| <b>b</b> Other transactions  |              |     |    |
| <b>(1)</b> Sales of assets to a noncharitable exempt organization  | <b>1b(1)</b> |     | X  |
| <b>(2)</b> Purchases of assets from a noncharitable exempt organization  | <b>1b(2)</b> |     | X  |
| <b>(3)</b> Rental of facilities, equipment, or other assets  | <b>1b(3)</b> |     | X  |
| <b>(4)</b> Reimbursement arrangements  | <b>1b(4)</b> |     | X  |
| <b>(5)</b> Loans or loan guarantees  | <b>1b(5)</b> |     | X  |
| <b>(6)</b> Performance of services or membership or fundraising solicitations  | <b>1b(6)</b> |     | X  |
| <b>c</b> Sharing of facilities, equipment, mailing lists, other assets, or paid employees  | <b>1c</b>    |     | X  |
| <b>d</b> If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received |              |     |    |

[illegible]

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

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

**Sign  
Here**

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

Signature of officer or trustee

Date \_\_\_\_\_

**Title**

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

**Paid  
Preparer  
Use Only**

Print/Type preparer's name

JOHN WOODHULL

Firm's name ► CROWE HORWATH LLP

Firm's address ► 70 WEST MADISON STREET, SUITE 700  
CHICAGO, IL

John V Woodhull, Esq.

2014.11.10 09:53:28  
-06'00'

Check ☐ if self-employed

PTIN	
------	--

P01305268

Firm's EIN ▶ 35-0921680

60602-4903

Phone no 312-899-7000

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

Kind of Property		Description				Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis	Gain or (loss)	
1,014,594.		GAINS FROM PARTNERSHIP INVESTMENTS PROPERTY TYPE: SECURITIES				VAR 1,014,594.	VAR
TOTAL GAIN (LOSS) .....						<u>1,014,594.</u>	

ATTACHMENT 1

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

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
DIVIDENDS AND INTEREST FROM SECURITIES	360,956.	153,399.
DIVIDENDS AND INTEREST FROM K-1S		198,689.
TOTAL	<u>360,956.</u>	<u>352,088.</u>



## RENT AND ROYALTY INCOME

<b>Taxpayer's Name</b> GRAHAM FOUNDATION FOR ADVANCED	<b>Identifying Number</b> 36-2356089
--	---

**DESCRIPTION OF PROPERTY**

## FACILITY RENTAL

	Yes		No	Did you actively participate in the operation of the activity during the tax year?
--	-----	--	----	--

**TYPE OF PROPERTY:**

### REAL RENTAL INCOME

**OTHER INCOME:**

## RENTAL INCOME

375.

**TOTAL GROSS INCOME**

375.

**OTHER EXPENSES:**

**DEPRECIATION (SHOWN BELOW)**

**LESS: Beneficiary's Portion**

## AMORTIZATION

**LESS: Beneficiary's Portion**

## DEPLETION

**LESS: Beneficiary's Portion**

**TOTAL EXPENSES**

**TOTAL RENT OR ROYALTY INCOME (LOSS)**

375.

**Less Amount to**

### Rent or Royalty

## Depreciation

## Depletion

### Investment Interest Expense

### Other Expenses

**Net Income (Loss) to Others****Net Rent or Royalty Income (Loss)**

375.

**Deductible Rental Loss (if Applicable)****SCHEDULE FOR DEPRECIATION CLAIMED**[illegible]

SUPPLEMENT TO RENT AND ROYALTY SCHEDULE

OTHER INCOME

RENTAL INCOME

375.

375.

RENT AND ROYALTY SUMMARY

<u>PROPERTY</u>	<u>TOTAL INCOME</u>	<u>DEPLETION/ DEPRECIATION</u>	<u>OTHER EXPENSES</u>	<u>ALLOWABLE NET INCOME</u>
FACILITY RENTAL	375.			375.
TOTALS	<u>375.</u>			<u>375.</u>

ATTACHMENT 2

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
INCOME FROM FORMS K-1		77,758.
MISCELLANEOUS INCOME	278.	21,307.
TOTALS	<u>278.</u>	<u>99,065.</u>

ATTACHMENT 3

FORM 990PF, PART I - LEGAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
LEGAL FEES	15,688.			15,688.
TOTALS	<u>15,688.</u>			<u>15,688.</u>

ATTACHMENT 4

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
ACCOUNTING FEES	106,384.			106,384.
TOTALS	<u>106,384.</u>			<u>106,384.</u>

ATTACHMENT 5FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>CHARITABLE PURPOSES</u>
INVESTMENT MANAGEMENT FEES	224,538.	95,119.	
CUSTODIAL FEES	80,048.	80,048.	
IT & GRAPHIC DESIGN FEES	19,426.		19,426.
CONSULTANT FEES	17,269.		17,269.
PAYROLL SERVICES	2,150.		2,150.
TOTALS	<u>343,431.</u>	<u>175,167.</u>	<u>38,845.</u>

ATTACHMENT 6

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>CHARITABLE PURPOSES</u>
PAYROLL TAX	41,005.		41,005.
FOREIGN TAXES PAID		5,357.	
FEDERAL EXCISE TAX	25,700.		
OTHER STATE TAXES	47.		47.
SALES TAX	62.		62.
TOTALS	<u>66,814.</u>	<u>5,357.</u>	<u>41,114.</u>



ATTACHMENT 7FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
WEBSITE/INTERNET	17,371.		17,371.
STIPENDS/ HONORARIA SPEAKERS	1,500.		1,500.
INSURANCE	32,321.		32,321.
POSTAGE & SHIPPING	96,185.		96,185.
SUPPLIES	8,318.		8,318.
GRANT MAKING DATABASE FEES	14,804.		14,804.
PRODUCTION	51,353.		51,353.
DUES & SUBSCRIPTIONS	12,225.		12,225.
BANK AND CREDIT CARD FEES	3,305.		3,305.
MAINTENANCE	3,538.		3,538.
ADVERTISING & PROMOTIONS	10,398.		10,398.
RECEPTION & HOSPITALITY	14,710.		14,710.
A/V & DOCUMENTATION	6,449.		6,449.
TRAINING	2,434.		2,434.
REGISTRATION & LICENSES	211.		211.
PLANNING & RESEARCH	530.		530.
SOFTWARE EXPENSES	431.		431.
MISCELLANEOUS EXPENSES	4,991.		4,991.
OTHER EXPENSES FROM K-1'S		141,826.	
TOTALS	<u>281,074.</u>	<u>141,826.</u>	<u>281,074.</u>

ATTACHMENT 8

FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
LARGE & SMALL CAP EQUITY	9,782,213.	12,008,981.	12,008,981.
TOTALS	<u>9,782,213.</u>	<u>12,008,981.</u>	<u>12,008,981.</u>

ATTACHMENT 9FORM 990PF, PART II - CORPORATE BONDS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
ABSOLUTE RETURN & FIXED INCOME	14,734,442.	14,824,210.	14,824,210.
TOTALS	<u>14,734,442.</u>	<u>14,824,210.</u>	<u>14,824,210.</u>

ATTACHMENT 10FORM 990PF, PART II - OTHER INVESTMENTS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
INTERNATIONAL EQUITY	5,991,540.	6,915,032.	6,915,032.
HEDGED EQUITY	3,861,009.	4,189,486.	4,189,486.
PRIVATE EQUITY	5,288,571.	5,518,020.	5,518,020.
TOTALS	<u>15,141,120.</u>	<u>16,622,538.</u>	<u>16,622,538.</u>

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

<u>DESCRIPTION</u>	<u>AMOUNT</u>
UNREALIZED GAIN ON INVESTMENTS	5,357,954.
TOTAL	<u>5,357,954.</u>

## GRAHAM FOUNDATION FOR ADVANCED

36-2356089

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEESATTACHMENT 12

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
HAMZA WALKER 4 WEST BURTON CHICAGO, IL 60610-1416	PRESIDENT 3.00	0	0	0
ROSS WIMER 4 WEST BURTON CHICAGO, IL 60610-1416	VICE PRESIDENT 3.00	0	0	0
RENA CONTI 4 WEST BURTON CHICAGO, IL 60610-1416	TREASURER 3.00	0	0	0
ELIZABETH SMITH 4 WEST BURTON CHICAGO, IL 60610-1416	SECRETARY 3.00	0	0	0
CHANDRA GOLDSMITH 4 WEST BURTON CHICAGO, IL 60610-1416	TRUSTEE 1.00	0	0	0
BRUCE SAGAN 4 WEST BURTON CHICAGO, IL 60610-1416	TRUSTEE 1.00	0	0	0

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEESATTACHMENT 12 (CONT'D)

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
SEAN KELLER 4 WEST BURTON CHICAGO, IL 60610-1416	TRUSTEE 1.00	0	0	0
RANDALL KROSZNER 4 WEST BURTON CHICAGO, IL 60610-1416	TRUSTEE 1.00	0	0	0
JOHN SYVERTSEN 4 WEST BURTON CHICAGO, IL 60610-1416	TRUSTEE 1.00	0	0	0
THEASTER GATES 4 WEST BURTON CHICAGO, IL 60610-1416	TRUSTEE 1.00	0	0	0
JEANNE GANG 4 WEST BURTON CHICAGO, IL 60610-1416	TRUSTEE 1.00	0	0	0
SARAH HERDA 4 WEST BURTON CHICAGO, IL 60610-1416	EXECUTIVE DIRECTOR 40.00	149,368.	12,037.	0
GRAND TOTALS		149,368.	12,037.	0

990PF, PART VIII - COMPENSATION OF THE FIVE HIGHEST PAID EMPLOYEESATTACHMENT 13

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS EXPENSE ACCT TO EMPLOYEE AND OTHER BENEFIT PLANS ALLOWANCES</u>
CAROLYN KELLY 4 WEST BURTON CHICAGO, IL 60610	GRANTS MANAGER 40.00	61,302.	4,904. 0
RONALD KONOW 4 WEST BURTON CHICAGO, IL 60610	FACILITIES MANAGER 40.00	57,378.	4,590. 0
STEPHANIE WHITLOCK 4 WEST BURTON CHICAGO, IL 60610	PROGRAM OFFICER 40.00	81,282.	6,556. 0
	TOTAL COMPENSATION	<u>199,962.</u>	<u>16,050.</u> 0



990PF, PART VIII- COMPENSATION OF THE FIVE HIGHEST PAID PROFESSIONALSATTACHMENT 14

<u>NAME AND ADDRESS</u>	<u>TYPE OF SERVICE</u>	<u>COMPENSATION</u>
KSMB ASSOCIATES, INC. 624 FAIRHOPE GLENVIEW, IL 60025	ACCOUNTING	66,408.
TOTAL COMPENSATION		<u>66,408.</u>

ATTACHMENT 15

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

SARAH HERDA, GRAHAM FOUNDATION  
4 WEST BURTON  
CHICAGO, IL 60610-1416  
312-787-4071

FORM 990-PF, PART XVI-A - ANALYSIS OF OTHER REVENUE

ATTACHMENT 16

<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>
OTHER MISCELLANEOUS INCOME		278.				
TOTALS		<u>278.</u>				

**SCHEDULE D  
(Form 1041)**Department of the Treasury  
Internal Revenue Service**Capital Gains and Losses**

▶ Attach to Form 1041, Form 5227, or Form 990-T.

▶ Use Form 8949 to list your transactions for lines 1b, 2, 3, 8b, 9 and 10.

▶ Information about Schedule D and its separate instructions is at [www.irs.gov/form1041](http://www.irs.gov/form1041).

OMB No 1545-0092

**2013**Name of estate or trust  
GRAHAM FOUNDATION FOR ADVANCED  
STUDIES IN THE FINE ARTSEmployer identification number  
36-2356089**Note:** Form 5227 filers need to complete *only* Parts I and II.**Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less**

See instructions for how to figure the amounts to enter on the lines below

This form may be easier to complete if you round off cents to whole dollars.

	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part I, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
<b>1a</b> Totals for all short-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions) However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 1b				
<b>1b</b> Totals for all transactions reported on Form(s) 8949 with <b>Box A</b> checked . . . . .				
<b>2</b> Totals for all transactions reported on Form(s) 8949 with <b>Box B</b> checked . . . . .	1,014,594.			1,014,594.
<b>3</b> Totals for all transactions reported on Form(s) 8949 with <b>Box C</b> checked . . . . .				
<b>4</b> Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824 . . . . .				<b>4</b>
<b>5</b> Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts . . . . .				<b>5</b>
<b>6</b> Short-term capital loss carryover Enter the amount, if any, from line 9 of the 2012 Capital Loss Carryover Worksheet . . . . .				<b>6</b> ( )
<b>7</b> <b>Net short-term capital gain or (loss).</b> Combine lines 1a through 6 in column (h) Enter here and on line 17, column (3) on the back . . . . . ▶				<b>7</b> 1,014,594.

**Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year**

See instructions for how to figure the amounts to enter on the lines below

This form may be easier to complete if you round off cents to whole dollars

	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part II, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
<b>8a</b> Totals for all long-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions) However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 8b				
<b>8b</b> Totals for all transactions reported on Form(s) 8949 with <b>Box D</b> checked . . . . .				
<b>9</b> Totals for all transactions reported on Form(s) 8949 with <b>Box E</b> checked . . . . .				
<b>10</b> Totals for all transactions reported on Form(s) 8949 with <b>Box F</b> checked . . . . .				
<b>11</b> Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824 . . . . .				<b>11</b>
<b>12</b> Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts . . . . .				<b>12</b>
<b>13</b> Capital gain distributions . . . . .				<b>13</b>
<b>14</b> Gain from Form 4797, Part I . . . . .				<b>14</b>
<b>15</b> Long-term capital loss carryover Enter the amount, if any, from line 14 of the 2012 Capital Loss Carryover Worksheet . . . . .				<b>15</b> ( )
<b>16</b> <b>Net long-term capital gain or (loss).</b> Combine lines 8a through 15 in column (h) Enter here and on line 18a, column (3) on the back . . . . . ▶				<b>16</b>

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

Schedule D (Form 1041) 2013

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**Part III Summary of Parts I and II****Caution: Read the instructions before completing this part.**

	(1) Beneficiaries' (see instr )	(2) Estate's or trust's	(3) Total
<b>17</b> Net short-term gain or (loss) . . . . .	<b>17</b>		1,014,594.
<b>18</b> Net long-term gain or (loss):			
<b>a</b> Total for year . . . . .	<b>18a</b>		
<b>b</b> Unrecaptured section 1250 gain (see line 18 of the wrksht) . . . .	<b>18b</b>		
<b>c</b> 28% rate gain . . . . .	<b>18c</b>		
<b>19</b> Total net gain or (loss). Combine lines 17 and 18a. . . . . ▶	<b>19</b>		1,014,594.

**Note:** If line 19, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a). If lines 18a and 19, column (2), are net gains, go to Part V, and **do not** complete Part IV. If line 19, column (3), is a net loss, complete Part IV and the **Capital Loss Carryover Worksheet**, as necessary.

**Part IV Capital Loss Limitation**

<b>20</b> Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the <b>smaller</b> of	<b>20</b>	( )
<b>a</b> The loss on line 19, column (3) or <b>b</b> \$3,000 . . . . .		

**Note:** If the loss on line 19, column (3), is more than \$3,000, or if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the **Capital Loss Carryover Worksheet** in the instructions to figure your capital loss carryover.

**Part V Tax Computation Using Maximum Capital Gains Rates**

**Form 1041 filers.** Complete this part **only** if both lines 18a and 19 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), and Form 1041, line 22, is more than zero.

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

- Either line 18b, col. (2) or line 18c, col. (2) is more than zero, or
- Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero.

**Form 990-T trusts.** Complete this part **only** if both lines 18a and 19 are gains, or qualified dividends are included in income in Part I of Form 990-T, and Form 990-T, line 34, is more than zero. Skip this part and complete the **Schedule D Tax Worksheet** in the instructions if either line 18b, col. (2) or line 18c, col. (2) is more than zero.

<b>21</b> Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34). . .	<b>21</b>		
<b>22</b> Enter the <b>smaller</b> of line 18a or 19 in column (2) but not less than zero. . . . .	<b>22</b>		
<b>23</b> Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T). . .	<b>23</b>		
<b>24</b> Add lines 22 and 23 . . . . .	<b>24</b>		
<b>25</b> If the estate or trust is filing Form 4952, enter the amount from line 4g, otherwise, enter -0-. . . ▶	<b>25</b>		
<b>26</b> Subtract line 25 from line 24. If zero or less, enter -0-. . . . .	<b>26</b>		
<b>27</b> Subtract line 26 from line 21. If zero or less, enter -0-. . . . .	<b>27</b>		
<b>28</b> Enter the <b>smaller</b> of the amount on line 21 or \$2,450 . . . . .	<b>28</b>		
<b>29</b> Enter the <b>smaller</b> of the amount on line 27 or line 28 . . . . .	<b>29</b>		
<b>30</b> Subtract line 29 from line 28. If zero or less, enter -0-. This amount is taxed at 0% . . . . . ▶	<b>30</b>		
<b>31</b> Enter the smaller of line 21 or line 26 . . . . .	<b>31</b>		
<b>32</b> Subtract line 30 from line 26. . . . .	<b>32</b>		
<b>33</b> Enter the <b>smaller</b> of line 21 or \$11,950. . . . .	<b>33</b>		
<b>34</b> Add lines 27 and 30 . . . . .	<b>34</b>		
<b>35</b> Subtract line 34 from line 33. If zero or less, enter -0-. . . . .	<b>35</b>		
<b>36</b> Enter the <b>smaller</b> of line 32 or line 35. . . . .	<b>36</b>		
<b>37</b> Multiply line 36 by 15%. . . . . ▶	<b>37</b>		
<b>38</b> Enter the amount from line 31 . . . . .	<b>38</b>		
<b>39</b> Add lines 30 and 36 . . . . .	<b>39</b>		
<b>40</b> Subtract line 39 from line 38. If zero or less, enter -0-. . . . .	<b>40</b>		
<b>41</b> Multiply line 40 by 20% . . . . . ▶	<b>41</b>		
<b>42</b> Figure the tax on the amount on line 27. Use the 2013 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041). . . .	<b>42</b>		
<b>43</b> Add lines 37, 41, and 42 . . . . .	<b>43</b>		
<b>44</b> Figure the tax on the amount on line 21. Use the 2013 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041). . . .	<b>44</b>		
<b>45</b> Tax on all taxable income. Enter the <b>smaller</b> of line 43 or line 44 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36). . . . . ▶	<b>45</b>		

Schedule D (Form 1041) 2013

**Sales and Other Dispositions of Capital Assets**

OMB No 1545-0074

Department of the Treasury  
Internal Revenue Service► Information about Form 8949 and its separate instructions is at [www.irs.gov/form8949](http://www.irs.gov/form8949).**2013**Attachment  
Sequence No **12A**

► File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

Name(s) shown on return

GRAHAM FOUNDATION FOR ADVANCED

Social security number or taxpayer identification number

36-2356089

Most brokers issue their own substitute statement instead of using Form 1099-B. They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS. Before you check Box A, B, or C below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS. Brokers are required to report basis to the IRS for most stock you bought in 2011 or later.

**Part I Short-Term.** Transactions involving capital assets you held one year or less are short-term. For long-term transactions, see page 2.

**Note.** You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the total directly on Schedule D, line 1a; you are not required to report these transactions on Form 8949 (see instructions).

You **must** check Box A, B, or C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box. If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need.

- ☐ (A) Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see Note above)
- ☒ (B) Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS
- ☐ (C) Short-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed (Mo, day, yr)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis. See the Note below and see Column (e) in the separate instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See the separate instructions.		(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g)
						(f) Code(s) from instructions	(g) Amount of adjustment	
	GAINS FROM PARTNERSHIP INVESTMENTS			1,014,594.				1,014,594.
<b>2 Totals.</b>	Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 1b (if Box A above is checked), line 2 (if Box B above is checked), or line 3 (if Box C above is checked).			1,014,594.				1,014,594.

**Note.** If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See Column (g) in the separate instructions for how to figure the amount of the adjustment.

For Paperwork Reduction Act Notice, see your tax return instructions.

Form **8949** (2013)

Graham Foundation for Advanced Studies in the Fine Arts  
36-2356089  
12/31/13

#### Federal footnotes

Form 990PF, Part VII-B, 5C

Founded in 1956, the Graham Foundation for Advanced Studies in the Fine Arts makes project-based grants to individuals and organizations and produces public programs to foster the development and exchange of diverse and challenging ideas about architecture and its role in the arts, culture, and society.

The Graham Foundation offers the following types of grants: (1) Production and Presentation Grants to individuals and organization; (2) Research and Development Grants to individuals. The grant period of a Production and Presentation Grant is two years, and the grant period of a Research and Development Grant is one year. Within the grant period, grantees are expected to plan, implement, and close out their project by submitting progress reports, and acknowledge Graham Foundation support in all media. (3) Carter Manny Award for students enrolled in doctoral programs in the U.S. and Canada.

All grantees must agree to and sign a grant agreement before grant funds are issued. The grant agreement stipulates:

A) Grant funds must be used only for the specific purpose of the grant, as stated in the grantee's application, and will be used only for the charitable, scientific, literary or educational purposes of the grantee. The grant purpose is subject to modification only with the written approval of the foundation.

B) Any extension of the project terms must be requested in writing to the Graham Foundation for approval.

C) Any funds not expended in accordance with the purpose of the grant must be returned to the foundation. Grantees acknowledge grant funds, up to an including the full amount of the grant, will be returned to the Graham Foundation if failure to comply with the grant agreement conditions occurs. Any unused grant funds must also be returned to the foundation.

D) Grantees agree to furnish written progress reports to the foundation at least once a year.

E) Upon project completion, grantees submit a final summary report and final project products, such as publications, exhibition catalogues, conference proceedings, new media (films, dvds, Podcasts), project images, and other printed media such as press releases, reviews, and announcements.

Graham Foundation for Advanced Studies in the Fine Arts  
36-2356089  
12/31/13

F) The foundation retains the right to monitor and conduct evaluations of grants, which may include a visit by foundation personnel to observe grantees' programs, discussion of the project with grantees, and review of grantees' financial and other records and materials connected with the activities financed by this grant.

#### Federal footnotes

The interim and final reports outline the manner in which the grant funds were spent and the progress made in accomplishing the grant's purposes, including but not limited to: a current project budget that accounts for how Graham Foundation grant funds were expended for the grant's purposes; a description of the progress to date toward the project's objectives, eg. major activities and their outcomes or factors that hindered or accelerated the project progress; a description of any collateral research or activity which has resulted from the award; a description of the current work plan and schedule.

Reporting requirements are monitored by foundation staff and tracked in a grant management database. Interim reports, final reports, and final products are reviewed by the foundation's program officer and executive director and are maintained in each grantee's record.



Graham Foundation for Advanced Studies in the Fine Arts  
36-2356089  
12/31/13

### How to Apply For a Grant

Founded in 1956, the Graham Foundation for Advanced Studies in the Fine Arts makes project-based grants to individuals and organizations and produces public programs to foster the development and exchange of diverse and challenging ideas about architecture and its role in the arts, culture, and society.

The Graham Foundation's application for Grants to Organizations and for Grants to Individuals is a two-stage process and is open submission. There are two application deadlines a year: February 25 for Grants to Organizations and September 15 for Grants to Individuals. Grant decisions are announced approximately 150 days after the application deadline. The Graham Foundation also offers the Carter Manny Award for doctoral dissertations; the application deadline is March 15 and grant decisions are announced approximately 150 days after the application deadline.

Tax-exempt organizations must provide a copy of the IRS determination letter that indicates the particular paragraph of the Internal Revenue Code that governs their exempt activities.

The Graham Foundation's grantmaking focus and priorities, grant guidelines, and application forms are available on its website: [www.grahamfoundation.org](http://www.grahamfoundation.org).

Information on funded projects (grantee names, project titles, and relevant project information) is also available on the foundation website.

#### General Restrictions:

Ineligible costs include:

- Endowment
- General operating expenses
- Capital projects
- Scholarship aid or work in pursuit of an academic degree (advanced doctoral candidates are eligible to apply for the Carter Manny Award)
- Work focused on K-12 curriculum or learning and/or intended for K-12 audiences
- Debt or expenses incurred prior to the date of grant request

For more information please see the Graham Foundation website, [www.grahamfoundation.org](http://www.grahamfoundation.org), or contact foundation staff at:

Graham Foundation for Advanced Studies in the Fine Arts  
4 West Burton Place  
Chicago, IL 60610  
[grantprograms@grahamfoundation.org](mailto:grantprograms@grahamfoundation.org)  
312-787-4071

Graham Foundation for Advanced Studies in the Fine Arts									
FEIN 36-2356086									
Grants and Contributions Paid during the Year 2013									
Grantee Name	Grantee City	Grantee State/Country	Foundation Status of Recipient	Purpose of Grant	Relationship to Organization	Amount			
AIA Chicago Foundation	Chicago	IL	PC	AIA Guide to Chicago, Third Edition	none	2,000			
American Friends of the Canadian Centre for Architecture, Inc.	New York	NY	PF	Chandigarh and Casablanca Modern Urbanism, New Geographies	none	15,000			
Javier Anguera Phipps	Somerville	MA	NC	Taxonomical Times Expansion	none	9,500			
Anyone Corporation	New York	NY	PC	In Pursuit of Architecture	none	10,000			
Archivo Diseño y Arquitectura	Mexico City	Mexico	NC	Publicación Archivo 01/Tradition versus Modernity	none	5,000			
Art Institute of Chicago-The School of the Art Institute of Chicago	Chicago	IL	PC	Toyo Ito. Architecture after 3 11	none	5,000			
Artists Space	New York	NY	PC	Richard Hollis' and 'Stephen Willats 50 Years of Control Magazine'	none	15,000			
Association of Architecture Organizations	Chicago	IL	PC	Association of Architecture Organizations 2013 Conference Making and Measuring Impact	none	10,000			
Steven Badgett	Chicago	IL	NC	Great Salt Lake Exploration Platform	none	14,500			
Pierre Belanger	Cambridge	MA	NC	Landscape of Defense Military Geographies and Altitudes of Urbanization	none	10,000			
Peter Bo Rappmund	Laguna Hills	CA	NC	Topophilia	none	5,000			
Karia Britton	New Haven	CT	NC	Focus on Modernism: The Architectural Photography of Robert Damora	none	5,000			
Alan Brock-Richmond	Frankfurt am Main	Germany	NC	RT60 The Authenticity of Space through Sound	none	10,000			
Bronx Museum of the Arts	Bronx	NY	PC	Beyond the Supersquare	none	15,000			
Andrew Bryant	Beijing	China	NC	[Meta Hutongs]	none	3,000			
Larry Busbea	Tucson	AZ	NC	The Responsive Environment. Aesthetics, Design, and Ecology in the 1970s	none	3,800			
Katherine A Bussard	Princeton	NJ	NC	Avedon, Charles Moore, Martha Rosler, and Philip-Lorca diCorcia	none	5,000			
Mario Carpo	Paris	France	NC	ANY Reader, 1993-2000	none	7,500			
Luis Miguel Castaneda	Syracuse	NY	NC	Spectacular Mexico Design, Propaganda and the 1968 Olympics	none	7,500			

Center for Urban Pedagogy	Brooklyn	NY		PC		Affordable Housing Toolkit (Chicago edition)	none		15,000
Edwin Chan (Fiscal Agent LACE (Los Angeles Contemporary Exhibitions))	Los Angeles	CA		PC		Chalet Hollywood	none		5,000
Sam Chermayeff	Berlin	Germany		NC		The Center for Optimism	none		1,650
Chicago Women in Architecture Foundation	Chicago	IL		PC		Women Building Change Chicago Women in Architecture Celebrates 40 Years	none		10,000
Gene Coleman	Collingswood	NJ		NC		Sendai Transmissions	none		10,000
Shelia R Crane	Charlottesville	VA		NC		Inventing Informality	none		7,500
Romi Crawford	Chicago	IL		NC		Leaning into the City The Photographs of Bob Crawford, 1966-1976	none		5,000
Robert Holden Dawson	San Francisco	CA		NC		Public Library An American Commons	none		10,000
Nicholas de Monchaux	Charlottesville	VA		NC		Current Location. Critical and Literal Devices for Twenty-First-Century Cities	none		10,000
Aslihan Demirtas	New York	NY		NC		Graft	none		10,000
Design History Foundation, Inc.	Alameda	CA		PC		History of the Present Cities in Transition	none		10,000
Kalliopi Dimou	Bucharest	Romania		NC		Tourism Planning and Architecture of the 1960s and '70s	none		3,300
Samuel Wainwright Douglas	Austin	TX		NC		Moving Mountains: Land Arts of the American West	none		15,000
Abbey Dubin	Selma	AL		NC		7 March 1965	none		100
Sonja Duempelmann	Cambridge	MA		NC		Flights of Imagination Aviation, Landscape, Design	none		5,000
Rosetta Sarah Elkin	Cambridge	MA		NC		Cultivating Scale Planting the Desert	none		9,000
Florida International University Foundation Inc.	Miami Beach	FL		PC		The Journal of Decorative and Propaganda Arts Special Turkey Issue	none		10,000
Kim Foerster	Zurich	Switzerland		NC		Studies, New York, 1967-1985 Networks of Cultural Production	none		10,000
Foundation for Landscape Studies	New York	NY		PC		Imprint Book Series	none		5,000
Beate Geissler	Chicago	IL		NC		Volatile Smile	none		5,000
David Gissen	Oakland	CA		NC		Manhattan Atmospheres Architecture, the Interior Environment, and Urban Crisis	none		7,500
Glessner House Museum	Chicago	IL		PC		At Home in Chicago Website	none		6,000
Michael J Golec	Chicago	IL		NC		Collaboration, and the Rural Electrification Administration	none		2,500
Piero Golia (Fiscal Agent LACE (Los Angeles Contemporary Exhibitions))	Los Angeles	CA		PC		Chalet Hollywood	none		5,000

Grantmakers in the Arts	Seattle	WA	PC	Artists Data Project	none	5,000
Grey Room Inc	New York	NY	PC	greyroom.org	none	15,000
Brian Collins Grogan	Richmond	VA	NC	A Photographic Study of the World War I Cemeteries, Memorials, and Commemorative White Elephants on Campus The Decline of the University Chapel in America, 1920-1960	none	10,000
Margaret M Grubiak	Villanova	PA	NC	Archivalia Archive Manifestations of Performative Spaces	none	1,700
Peter Hanappe	Paris	France	NC	Headlands Center for the Arts' 2014 Architecture/Environment Residency Award	none	1,000
Headlands Center for the Arts	Sausalito	CA	PC	Brutal Legacy Paul Rudolph's Orange County Government Center	none	15,000
Sean Hemmerle	Brooklyn	NY	NC	7 March 1965	none	3,000
Christopher Heuer	Princeton	NJ	NC	iParade#3	none	100
Tali Hinkis-Lapidus	New York	NY	NC	City Choreographer Lawrence Halprin in Urban Renewal America	none	4,500
Alison Hirsch	Los Angeles	CA	NC	Architecture from Anything Contemporary Strategies of Design Pedagogy	none	7,500
Bradley Scott Horn	New York	NY	NC	Gut Year	none	10,000
Florian Idenburg	Brooklyn	NY	NC	Tourism Planning and Architecture of the 1960s and '70s	none	5,000
Sorin Istudor	Bucharest	Romania	NC	7 March 1965	none	3,300
Matthew Jesse Jackson	Chicago	IL	NC	Thinking the Future of Auschwitz	none	9,800
Eric Kahn	Los Angeles	CA	NC	Dreaming of a Nation Architecture and Cold War Modernization in Postcolonial Pakistan, 1947-1971	none	2,500
Farhan Sirajul Karim (Fiscal Agent: The University of Kansas Center for Research, Inc.)	Lawrence	KS	PC	Irena Knezevic Victory of Literary School X Detail Kultur. If Buildings had DNA: Case Studies of Mutations	none	7,500
Irena Knezevic	Chicago	IL	NC	Designing Development: Federal New Deal Housing Experiments on Native American Reservations, 1961-1989	none	10,000
Christoph A.Kumpusch	New York	NY	NC	Manifestos, Summits, and Gangs (Part I)	none	10,000
Nancy Haekyung Kwak (Fiscal Agent: The Regents of the University of California)	La Jolla	CA	PC	Lampo 2013 Spring Concert series at the Graham Foundation	none	7,500
Jimenez Yen Chi Lai	Chicago	IL	NC	Lampo 2013 Fall Concert series at the Graham Foundation	none	10,000
Lampo	Chicago	IL	PC	iParade#3	none	5,000
Lampo	Chicago	IL	PC		none	4,000
Kyle Lapidus	New York	NY	NC		none	500

LIGA-Space for Architecture-Mexico City	Mexico City	Mexico	NC		LIGA Vol. 1. Even Small Spaces Start Small	none	5,000
Armin Gustav Valdo Linke	Berlin	Germany	NC		Archivalia Archive Manifestations of Performative Spaces	none	14,000
Liverpool Biennial of Contemporary Art Ltd	Liverpool	United Kingdom	NC		Stages	none	10,000
Los Angeles Forum for Architecture and Urban Design	Los Angeles	CA	PC		The LA Forum Anthology	none	15,000
Casey Mack	Brooklyn	NY	NC		Digested Metabolism Artificial Land in Japan, 1954-2202	none	10,000
MAK Center for Art and Architecture	West Hollywood	CA	PC		Das Andere (The Other)	none	20,000
Elena Manfredini	Venice	CA	NC		Tempera	none	15,000
Joseph Martinez	Phoenix	AZ	NC		The Exhibition of a Necessary Incompleteness	none	2,600
MAS Context	Chicago	IL	PC		MAS Context	none	10,000
Clara Meister	Berlin	Germany	NC		The Center for Optimism	none	1,675
J. Meyer-Grohbrugge	Berlin	Germany	NC		The Center for Optimism	none	1,675
Susan Morgan	Los Angeles	CA	NC		Esther McCoy: A Modern Life	none	15,000
Mohsen Mostafavi	Cambridge	MA	NC		Nicholas Hawksmoor London Churches	none	10,000
Museum of Contemporary Art Chicago	Chicago	IL	PC		Isa Genzken. Retrospective	none	10,000
Ciro Najle	Buenos Aires	Argentina	NC		Protocols of the American Midwest and the Argentinean Pampas	none	5,000
National Trust for Historic Preservation-Philip Johnson Glass House	New Canaan	CT	PC		Night Sounds	none	10,000
Neighborhood Housing Services of Chicago, Inc.	Chicago	IL	PC		The Contract Buyers League Project	none	7,500
Virginia Nolan	New York	NY	NC		Savage Mind to Savage Machine. Disciplines and Techniques of Creativity, 1880-1985	none	20,000
Ohio State University Foundation	Columbus	OH	PC		Possible Mediums	none	15,000
Lluis Ortega	Chicago	IL	NC		Protocols of the American Midwest and the Argentinean Pampas	none	5,000
Spyros Papapetros	Princeton	NJ	NC		Retracing the Expanded Field: Encounters between Art and Architecture	none	5,000
President and Fellows of Harvard College	Cambridge	MA	PC		Airport Landscape Urban Ecologies in the Aerial Age	none	10,000
Primary Information	New York	NY	PC		The Sound Works of Vito Acconci	none	5,000
Ronald Rael	Oakland	CA	NC		Recuerdos/Souvenirs: Memories of the U.S./Mexico Border Wall	none	5,000

Christopher Bascom Rawlins	New York	NY	NC	Fire Island Modernist. Horace Gifford and the Architecture of Seduction	none	7,500
David William Reinhardt	New York	NY	NC	Messages and Means Muriel Cooper at MIT	none	12,500
Frances M Richard	Oakland	CA	NC	Physical Poetics Gordon Matta-Clark and Language	none	5,000
Bryony Wyn Roberts	Houston	TX	NC	Inverting Neutra An Installation at the Neutra VDL Studio and Residences in Los Angeles	none	10,000
Julian Rose	New York	NY	NC	Retracing the Expanded Field Encounters between Art and Architecture	none	5,000
Steve McGee Rowell	Chicago	IL	NC	Parallelograms	none	5,000
Oliver Sann	Chicago	IL	NC	Volatile Smile	none	5,000
San Rocco s.n.c	Milano	Italy	NC	Monkeys, Issue 10: Ecology, and Issue 11 Happy Birthday, Bramante!	none	10,000
Alina Serban	Bucharest	Romania	NC	Tourism Planning and Architecture of the 1960s and '70s	none	3,400
Pierluigi Serraino	Alameda	CA	NC	Focus on Modernism The Architectural Photography of Robert Damora	none	5,000
Jose Roberto Shwafaty de Siqueira	São Paulo	Brasil	NC	Foundations of the Design Substance Cultural Metaphors to Design a New Future	none	10,000
Asif Siddiqi	Bronx	NY	NC	ZATO: Soviet Secret Cities of the Cold War	none	2,750
Socrates Sculpture Park	Long Island City	NY	PC	Folly 2014	none	15,000
Southern California Institute of Architecture	Los Angeles	CA	PC	Lebbeus Woods is an Archetype	none	20,000
Phoebe Springstubb	Brooklyn	NY	NC	Casino Capitalism: The American City's Stake in Luck	none	4,000
Deborah Stratman	Chicago	IL	NC	Subsurface Voids	none	10,000
Chris Taylor	Lubbock	TX	NC	Great Salt Lake Exploration Platform	none	500
Terreform Inc.	New York	NY	PF	UR (Urban Research)	none	20,000
Russell Thomsen	Los Angeles	CA	NC	Thinking the Future of Auschwitz	none	2,500
Anthony Titus	New York	NY	NC	Contemporary Painting and Digital Architecture	none	5,000
Fatma Neyran Turan	Houston	TX	NC	Whole-Worlds. Mathias Ungers in the United States, 1968-1976	none	5,000
The Regents of the University of California	Los Angeles	CA	PC	Haiti Now	none	10,000
University of Utah	Salt Lake City	UT	PC	Calibrating the Financial Economy of the Built Environment	none	5,000
UWM Foundation, Inc	Milwaukee	WI	PC	The Uncertainty of Enclosure: Leo Saul Berk and Bruce Goff	none	7,500

David van der Leer	New York	NY	NC		Gut Year	none	5,000
Nader Vossoughian	Old Westbury	NY	NC		Standardization Reconsidered. Ernst Neufert's Bauteurfislehre (1936) as Case Study	none	4,750
Xenia Vytuleva	New York	NY	NC		ZATO: Soviet Secret Cities of the Cold War	none	2,750
Shuo Wang	Beijing	China	NC		[Meta:Hutongs]	none	7,000
Washington University-Mildred Lane Kemper Art Museum	St. Louis	MO	PC		On the Thresholds of Space-Making Shinohara Kazuo and his Legacy	none	5,000
William Watson	Hastings on Hudson	NY	NC		Brutal Legacy Paul Rudolph's Orange County Government Center	none	2,000
Robert Ethan Wiesenberger	New York	NY	NC		Messages and Means Muriel Cooper at MIT	none	2,500
Woodbury University	Burbank	CA	PC		Beyond Environment	none	10,000
Yale University	New Haven	CT	PC		Everything Loose Will Land	none	15,000
Claire Zimmerman (Fiscal Agent The Regents of the University of Michigan)	Ann Arbor	MI	PC		Photographic Modern Architecture	none	10,000
Donors Forum of Chicago	Chicago	IL	PC		Contribution	none	1,417
						Grants Paid	961,767
						Grants Cancelled/Returned	(28,883)
						Total Grants Paid in 2013	932,884
Grantee Name	Grantee City	Grantee State/Country	Foundation Status of Recipient	Purpose of Grant	Relationship to Organization	Amount	
Bard Graduate Center	New York	NY	PC	Artek Design, Domesticity, and the Public Sphere	none	10,000	
Columbia University-Graduate School of Architecture, Planning and Preservation	New York	NY	PC	Giulio Carlo Argan, The Crisis of Values: Essays on Modern Art and Architecture, 1930-1965 and Shadrach Woods, Build in Uncertainty: Essays and Writings	none	10,000	
Hochhaeusl, Sophie	New York	NY	NC	Modern by Nature: Architecture, Politics, and Socio-Technical Systems in Austrian Settlements and Allotment Gardens between Reform and the Welfare State, 1903-1953	none	15,000	
Soberstone Press	Chicago	IL	NC	Learning by Doing at the Farm: Craft, Science, and Counterculture in Modern California	none	10,000	

University of Illinois at Chicago-School of Architecture	Chicago	IL	PC	Douglas A. Garofalo Memorial Faculty Fellowship Fund at the School of Architecture in the College of Architecture, Design, and the Arts	none	25,000
					Total 2013 Grants paid in 2014	70,000



Graham Foundation for Advanced Studies in the Fine Arts

<u>Grantee Name</u>	<u>Grantee Address</u>	<u>Grant Date</u>	<u>Expenditure Responsibility</u>		<u>Amount Expended by Grantee</u>	<u>Any Diversion by Grantee?</u>	<u>Date of Report</u>	<u>Date of Verification</u>
			<u>Grant Amount</u>	<u>Grant Purpose</u>				
306090 Inc	400 Degraw Street Brooklyn, NY 11231	7/28/2010	5,000	Production and Presentation\Publication 306090 Books	5,000	No	10/25/2013	10/25/2013
Aggregate Architectural History Collaborative	c/o Jonathan Massey 330 Wythe Avenue #7B Brooklyn, NY 11249	6/29/2012	7,500	Production and Presentation\Film/Video/New Media/Web Aggregate Online Workshop and Publication Platform	7,500	No	5/28/2014	5/28/2014
Architect	2797 E Foothill Blvd , Suite 130 Pasadena, CA 91107	7/28/2010	5,000	Production and Presentation\Publication Bracket 2 [Goes Soft]	5,000	No	10/24/2013	10/24/2013
Canadian Centre for Architecture	1920, Baile Street Montreal, PQ H3H 2S6 Canada	6/29/2012	20,000	Production and Presentation\Publication Archaeology of the Digital	20,000	No	6/26/2013	8/23/2013
American Friends of the Canadian Centre for Architecture, Inc	1920, Baile Street Montreal, PQ H3H 2S6 Canada	6/27/2013	15,000	Production and Presentation\Publication Chandigarh and Casablanca Modern Urbanism, New Geographies	15,000	No	4/3/2014	4/3/2014
Archivo Diseño y Arquitectura	General Francisco Ramírez no 4 col Ampliación Daniel Garza, C P 11840, Del Miguel Hidalgo, México D F Mexico City 11840 Mexico	6/27/2013	5,000	Production and Presentation\Publication Publicacion Archivo 01/Tradition versus Modernity	1,249	No	6/1/2014	6/6/2014
Design Onscreen	789 Sherman Street, Suite 130 Denver, CO 80203	8/8/2011	10,000	Production and Presentation\Film/Video/New Media/Web Lone Star Mod Midcentury Houston Architecture	0	No	5/4/2014	5/5/2014
de_sito	Ángel Urraza 523 (816) Col del Valle Del Benito Juárez Mexico City 03100 Mexico	6/29/2012	5,000	Production and Presentation\Publication Structures at the Limit Poems on Felix Candela, A Project by David Bestue	5,000	No	2/12/2014	3/6/2014
ETH Zürich	ETH Studio Basel Spitalstrasse 8 Basel 4056 Switzerland	7/29/2008	15,000	Production and Presentation\Publication Nairobi on the Ground	15,000	No	10/31/2013	10/31/2013
Film and Video Umbrella	8 Vine Yard London SE1 1QL United Kingdom	6/29/2012	5,000	Production and Presentation\Film/Video/New Media/Web Everything Made Bronze	5,000	No	2/12/2014	4/15/2014
Fourthwall Books	Shop no 4, Arts on Main Unit S14A 44 Stanley Avenue Milpark 2022 Johannesburg 2094 South Africa	7/29/2008	15,000	Production and Presentation\Publication Possible Futures The Gas Works and Industrial Architecture in Johannesburg	14,797	No	3/28/2014	3/31/2014
Gasworks	155 Vauxhall St London SE11 5RH United Kingdom	6/29/2012	2,500	Production and Presentation\Exhibition Jonathas de Andrade	0	No	2/3/2014	2/3/2014
IE University	Campus Santa Cruz la Real Cardenal Zúñiga, 12 Segovia 40003 Spain	8/8/2011	7,500	Production and Presentation\Publication International Architectural Education Summit 2011 Publication	7,500	No	9/30/2014	9/30/2014

InfraNet Lab	242 Concord Avenue Toronto, ON M6H2P5 Canada	6/29/2012	5,000	Production and Presentation\Publication Bracket 3 [at Extremes]	5,000	No	2/19/2014	3/8/2014
Justina M Barnicke Gallery/Hart House	7 Hart House Circle Toronto, ON M5S 3H3 Canada	6/29/2012	5,000	Production and Presentation\Exhibition Architecture as Social Form The Company We Keep	5,000	No	12/9/2013	5/23/2014
Kunstverein	Gerard Doustraat 132 Amsterdam 1073 VX The Netherlands	8/8/2011	5,000	Production and Presentation\Publication Mierle Laderman Ukeles The Ballet Book	600	No	8/1/2014	8/1/2014
LIGA-Space for Architecture-Mexico City	LIGA, Espacio para Arquitectura, DF Av Insurgentes Sur 348, (piso 9) Colonia Roma Sur, Delegación Cuauhtémoc Mexico City, Distrito Federal 06700 Mexico	6/29/2012	5,000	Production and Presentation\Exhibition LIGA-Exhibitions Program, 2012-2013	5,000	No	2/13/2014	7/3/2014
LIGA-Space for Architecture-Mexico City	LIGA, Espacio para Arquitectura, DF Av Insurgentes Sur 348, (piso 9) Colonia Roma Sur, Delegación Cuauhtémoc Mexico City, Distrito Federal 06700 Mexico	6/27/2013	5,000	Production and Presentation\Publication LIGA Vol 1 Even Small Spaces Start Small	5,000	No	6/4/2014	6/27/2014
Liverpool Biennial of Contemporary Art Ltd	PO Box 1200, 55 Jordan Street Liverpool L69 1XB United Kingdom	6/27/2013	10,000	Production and Presentation\Publication Stages	10,000	No	6/30/2014	7/30/2014
Museum of Modern Art in Warsaw	Panska 3 Warsaw 00-124 Poland	6/29/2012	10,000	Production and Presentation\Conference/Lecture Oskar Hansen Opening Modernism	10,000	No	10/21/2013	11/9/2013
San Rocco s n c	Corso Indipendenza, 14 Milano 20129 Italy	6/27/2013	10,000	Production and Presentation\Publication SAN ROCCO Magazine, Issue 9 Monks and Monkeys, Issue 10 Ecology, and Issue 11 Happy Birthday, Bramante!	0	No	4/15/2014	6/18/2014
Serpentine Gallery	Kensington Gardens London, England W2 3XA United Kingdom	6/20/2012	15,000	Production and Presentation\Exhibition Serpentine Gallery Pavilion 2012 by Herzog & de Meuron and Ai Weiwei	15,000	No	1/29/2013	1/29/2013
Shifter Magazine	4405 N Winchester, Unit #1 Chicago, IL 60640	6/29/2012	5,000	Production and Presentation\Publication Other Spaces	5,000	No	6/1/2014	7/25/2014
The Society for Moving Images about the Built Environment	2351 Edgewater Terrace Los Angeles, CA 90039	7/25/2011	2,000	Production and Presentation\Film/Video/New Media/Web Building Revolution 2011 SMIBE Short Film Competition	1,700	No	3/2/2014	3/3/2014
Terreform Inc	180 Varick Street, Suite 1220 New York, NY 10014	6/27/2013	20,000	Production and Presentation\Publication UR (Urban Research)	20,000	No	8/1/2014	8/6/2014
The Architecture Foundation	Ground Floor East 136-148 Tooley Street London SE1 2TU United Kingdom	6/29/2012	7,500	Production and Presentation\Exhibition Akihisa Hirata Tangling	7,500	No	2/13/2013	6/9/2013
The Architecture Foundation	Ground Floor East 136-148 Tooley Street London SE1 2TU United Kingdom	8/8/2011	10,000	Production and Presentation\Conference/Lecture Architecture + Art If You Build It, Will They Come?	10,000	No	3/10/2014	3/11/2014

**Application for Extension of Time To File an  
Exempt Organization Return**

► **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).

OMB No 1545-1709

- 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.

Enter filer's identifying number, see instructions

**Type or  
print**

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

Name of exempt organization or other filer, see instructions

GRAHAM FOUNDATION FOR ADVANCED  
STUDIES IN THE FINE ARTS

Employer identification number (EIN) or

36-2356089

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

4 WEST BURTON

Social security number (SSN)

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

CHICAGO, IL 60610-1416

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

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 ► SARAH HERDA

Telephone No ► 312 787-4071

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

- I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 08/15, 2014, to file the exempt organization return for the organization named above. The extension is for the organization's return for ☒ calendar year 2013 or ☐ tax year beginning \_\_\_\_\_, 20\_\_\_\_, and ending \_\_\_\_\_, 20\_\_\_\_.

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

<b>3a</b> 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.	<b>3a</b>	\$	34,108.
<b>b</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.	<b>3b</b>	\$	34,108.
<b>c</b> <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.	<b>3c</b>	\$	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)

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

• If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1)

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

<b>Type or print</b>  File by the due date for filing your return. See instructions.	Enter filer's identifying number, see instructions	
	Name of exempt organization or other filer, see instructions	Employer identification number (EIN) or
	GRAHAM FOUNDATION FOR ADVANCED STUDIES IN THE FINE ARTS	36-2356089
	Number, street, and room or suite no. If a P.O. box, see instructions	Social security number (SSN)
	4 WEST BURTON	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	CHICAGO, IL 60610-1416	

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-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

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

• The books are in the care of **SARAH HERDA**

Telephone No. **312 787-4071**

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

4 I request an additional 3-month extension of time until **11/17, 2014**

5 For calendar year **2013**, or other tax year beginning , 20 , and ending , 20

6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return  
☐ Change in accounting period

7 State in detail why you need the extension **ADDITIONAL TIME IS REQUIRED TO GATHER THE INFORMATION NECESSARY TO FILE A COMPLETE AND ACCURATE RETURN.**

8a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a \$	34,108.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b \$	34,108.
c <b>Balance Due.</b> Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c \$	0

**Signature and Verification must be completed for Part II only.**

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

Signature

Title **CPA**

Date **7/29/14**

Form 8868 (Rev. 1-2014)