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Form **990-PF****Return of Private Foundation**
or Section 4947(a)(1) Trust Treated as Private Foundation

OMB No 1545-0052

2014

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

- ▶ 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.

For calendar year 2014 or tax year beginning**, and ending**

Name of foundation The Charles A. Dana Foundation, Incorporated			A Employer identification number 06-6036761	
Number and street (or P.O. box number if mail is not delivered to street address) 505 Fifth Avenue		Room/suite 6th Fl	B Telephone number (see instructions) 212-223-4040	
City or town New York	State NY	ZIP code 10017		
Foreign country name		Foreign province/state/county	Foreign postal code	
G Check all that apply. ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change				
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation				
Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 241,247,697		J Accounting method ☐ Cash ☒ Accrual ☐ Other (specify) _____		
F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐				

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 ☒ if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities		1,358,906	1,358,906		
5a Gross rents					
b Net rental income (loss)					
6a Net gain or (loss) from sale of assets not on line 4		2,297,081			
b Gross sales price for all assets on line 6a					
7 Capital gain net income (from Part IV, line 2)			2,297,081		
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) <i>Schedule 1</i>		10,426,709	10,980,389		
12 Total. Add lines 1 through 11		14,082,696	14,636,376	0	
13 Compensation of officers, directors, trustees, etc.		1,131,365	211,483		902,314
14 Other employee salaries and wages		1,343,129	157,889		1,185,240
15 Pension plans, employee benefits		1,499,970	141,427		537,021
16a Legal fees (attach schedule) <i>Schedule 2</i>		1,233			1,233
b Accounting fees (attach schedule) <i>Schedule 3</i>		54,935	40,332		14,603
c Other professional fees (attach schedule) <i>Schedule 4</i>		1,067,397	429,164		638,233
17 Interest					
18 Taxes (attach schedule) (see instructions) <i>Schedule 5</i>		320,303			
19 Depreciation (attach schedule) and depletion <i>Schedule 6</i>		39,874	3,987		
20 Occupancy		726,830	145,366		579,457
21 Travel, conferences, and meetings		86,986			86,986
22 Printing and publications		253,375			253,375
23 Other expenses (attach schedule) <i>Schedule 7</i>		274,073			221,300
24 Total operating and administrative expenses. Add lines 13 through 23		6,799,470	1,129,648	0	4,419,762
25 Contributions, gifts, grants paid		8,494,948			9,101,857
26 Total expenses and disbursements. Add lines 24 and 25		15,294,418	1,129,648	0	13,521,619
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements		-1,211,722			
b Net investment income (if negative, enter -0-)			13,506,728		
c Adjusted net income (if negative, enter -0-)				0	

For Paperwork Reduction Act Notice, see instructions.

HTA

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing		12,928,952	9,944,291	9,944,291
	2 Savings and temporary cash investments				
	3 Accounts receivable ▶ 7,392				
	Less allowance for doubtful accounts ▶		9,840	7,392	7,392
	4 Pledges receivable ▶				
	Less allowance for doubtful accounts ▶				
	5 Grants receivable				
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7 Other notes and loans receivable (attach schedule) ▶				
	Less allowance for doubtful accounts ▶				
	8 Inventories for sale or use				
	9 Prepaid expenses and deferred charges				
	10a Investments—U S and state government obligations (attach schedule)				
	b Investments—corporate stock (attach schedule) <i>Schedule B</i>		58,646,065	54,620,457	54,620,457
	c Investments—corporate bonds (attach schedule)				
	11 Investments—land, buildings, and equipment basis ▶				
Liabilities	Less accumulated depreciation (attach schedule) ▶				
	12 Investments—mortgage loans				
	13 Investments—other (attach schedule) <i>Schedule 9</i>		170,755,399	176,187,128	176,187,128
	14 Land, buildings, and equipment basis ▶ <i>Schedule 10</i> 410,438				
	Less accumulated depreciation (attach schedule) ▶ 154,580		295,732	255,858	255,858
	15 Other assets (describe ▶ See Attached Statement 11)		262,403	232,571	232,571
	16 Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)		242,898,391	241,247,697	241,247,697
	17 Accounts payable and accrued expenses		343,031	265,514	
	18 Grants payable		6,558,909	5,952,000	
	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 ▶ See Attached Statement 12)		4,276,405	5,103,934	
	23 Total liabilities (add lines 17 through 22)		11,178,345	11,321,448	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. ▶ ☒				
	24 Unrestricted		231,720,046	229,926,249	
	25 Temporarily restricted				
	26 Permanently restricted				
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ ☐				
	27 Capital stock, trust principal, or current funds				
	28 Paid-in or capital surplus, or land, bldg., and equipment fund				
	29 Retained earnings, accumulated income, endowment, or other funds				
	30 Total net assets or fund balances (see instructions)		231,720,046	229,926,249	
	31 Total liabilities and net assets/fund balances (see instructions)		242,898,391	241,247,697	

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	231,720,046
2 Enter amount from Part I, line 27a	2	-1,211,722
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3	4	230,508,324
5 Decreases not included in line 2 (itemize) ▶ See Attached Statement 12	5	582,075
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	229,926,249

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs. MLC Co.)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	see attached schedule 13	P	var	VAR
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 11,762,615		9,465,534	2,297,081
b			
c			
d			
e			

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

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			2,297,081
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	2,297,081
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6). If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8		3	0

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2013	14,403,590	232,737,644	0.061888
2012	21,012,269	228,781,996	0.091844
2011	15,841,123	239,391,997	0.066172
2010	19,180,756	233,715,618	0.082069
2009	21,704,566	227,987,593	0.095201

2 Total of line 1, column (d)	2	0.397174
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	0.079435
4 Enter the net value of noncharitable-use assets for 2014 from Part X, line 5	4	238,840,561
5 Multiply line 4 by line 3	5	18,972,300
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	135,067
7 Add lines 5 and 6	7	19,107,367
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	13,521,619

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)			
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b	1	270,135	
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b).			
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0	
3	Add lines 1 and 2	3	270,135	
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4		
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	270,135	
6	Credits/Payments:			
a	2014 estimated tax payments and 2013 overpayment credited to 2014	6a	299,855	
b	Exempt foreign organizations—tax withheld at source	6b		
c	Tax paid with application for extension of time to file (Form 8868)	6c		
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments. Add lines 6a through 6d	7	299,855	
8	Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	0	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	29,720	
11	Enter the amount of line 10 to be Credited to 2015 estimated tax 29,720 Refunded	11	0	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? <i>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.</i>		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 (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? <i>If "Yes," attach a detailed description of the activities</i>		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? <i>If "Yes," attach a conformed copy of the changes</i>		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? <i>If "Yes," attach the statement required by General Instruction T.</i>		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ CT, DC, MD, NY		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation</i>	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 2014 or the taxable year beginning in 2014 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>		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) <i>Statement 14</i>	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? Website address www.dana.org	13	X	
14	The books are in care of Burton M Mirsky Telephone no 212 223 4040 Located at 505 Fifth Avenue, 6th Floor New York NY ZIP+4 10017			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—Check here and enter the amount of tax-exempt interest received or accrued during the year 15			
16	At any time during calendar year 2014, 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 FinCEN Form 114, (formerly TD F 90-22.1). If "Yes," enter the name of the foreign country	16	Yes	No
				X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☒ Yes ☐ No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No		
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ No		
b If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here ☐	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 2014?	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 2014, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2014? ☐ Yes ☒ No If "Yes," list the years 20 , 20 , 20 , 20		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions)	2b	N/A
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. 20 , 20 , 20 , 20		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No		
b If "Yes," did it have excess business holdings in 2014 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 2014.)	3b	N/A
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2014?	4b	X

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

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

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

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

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

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (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 **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) *statement 15*

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

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

If "Yes" to 6b, file Form 8870

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

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Statement 16		1,131,365	188,636	

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Statement 17		428,870	182,558	
	00	0		
	00	0		
	00	0		
	00	0		
	00	0		

Total number of other employees paid over \$50,000 ☐ **5**

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
Cambridge Assoc 125 High Street, Boston, MA 02110-2112	Investment Advice	136,001
Guy McKhann, M.D. 3400 North Charles St, Baltimore, MD 21228	Health Program Consultant	225,000
Eagle Management Advisors 700 Commodore Court, Unit 2728, Philadelphia, PA 19146	Investment Management	107,490
Dr Blakemore 11 Northmoor Rd, Oxford, OX 2 6UW United Kingdom (England, Northern Ireland,	Health Program Consultant	50,000
Silchester Intl Investors, Inc 780 Third Avenue, NY, NY 10017	Investment Management	111,117
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 Statement 18 - Total Expenses - \$4,419,762	
12-1 Grants	1,649,113
2	
12-2 Outreach- News Office	1,233,842
3	
12-3 Outreach- Website	1,028,338
4	
12-4 Outreach- Publications	508,469

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 None	
2	
All other program-related investments See instructions	
3	
Total. Add lines 1 through 3	0

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities	1a	55,842,087
b	Average of monthly cash balances	1b	12,991,843
c	Fair market value of all other assets (see instructions)	1c	173,643,797
d	Total (add lines 1a, b, and c)	1d	242,477,727
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	242,477,727
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	3,637,166
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	238,840,561
6	Minimum investment return. Enter 5% of line 5	6	11,942,028

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

1	Minimum investment return from Part X, line 6	1	11,942,028
2a	Tax on investment income for 2014 from Part VI, line 5	2a	270,135
b	Income tax for 2014 (This does not include the tax from Part VI)	2b	71,521
c	Add lines 2a and 2b	2c	341,656
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	11,600,372
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	11,600,372
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	11,600,372

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes.		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26	1a	13,521,619
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	13,521,619
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	13,521,619

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2013	(c) 2013	(d) 2014
1 Distributable amount for 2014 from Part XI, line 7				11,600,372
2 Undistributed income, if any, as of the end of 2014				
a Enter amount for 2013 only			0	
b Total for prior years: 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2014:				
a From 2009	10,337,978			
b From 2010	7,727,384			
c From 2011	4,064,964			
d From 2012	9,741,520			
e From 2013	3,065,586			
f Total of lines 3a through e	34,937,432			
4 Qualifying distributions for 2014 from Part XII, line 4 $\blacktriangleright$ \$ 13,521,619				
a Applied to 2013, 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 2014 distributable amount				11,600,372
e Remaining amount distributed out of corpus	1,921,247			
5 Excess distributions carryover applied to 2014 (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	36,858,679			
b Prior years' undistributed income Subtract line 4b from line 2b		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2013. Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2014 Subtract lines 4d and 5 from line 1. This amount must be distributed in 2015				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required—see instructions)				
8 Excess distributions carryover from 2009 not applied on line 5 or line 7 (see instructions)	10,337,978			
9 Excess distributions carryover to 2015. Subtract lines 7 and 8 from line 6a	26,520,701			
10 Analysis of line 9:				
a Excess from 2010	7,727,384			
b Excess from 2011	4,064,964			
c Excess from 2012	9,741,520			
d Excess from 2013	3,065,586			
e Excess from 2014	1,921,247			

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> see attached schedule				6,323,948
Total			3a	6,323,948
b <i>Approved for future payment</i> see attached schedule				2,171,000
Total			3b	2,171,000

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

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

[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	10/15/15 Date	Executive Vice Pres. Title

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

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

The Charles A Dana Foundation, Incorporated
Form 990PF
06-6036761
2014 Partnership/Trust Income
Part 1 Line 11

Schedule 1

Part 1 Line 11			Column (b)		
			Net Investment		
			Income		Taxable
		Column (a)	Net of UBTI		Income
	Ein #	Income Per Books	Per Actual K-1	UBTI	Per K-1
Knightsbridge Venture Capital	20-1463725	\$595,586	\$549,636	-\$62	\$549,574
Abbott Capital Fund IV	36-7045759	\$671,440	474,841	1,299	\$476,140
Abbott Capital Fund V	20-2896577	\$424,416	365,013	-18,578	\$346,435
Abbott Capital Fund VI	26-2293853	\$166,190	115,579	-19,617	\$95,962
Sovereign New Millenium Fund	84-1460377	-\$244,927	-162,880	-62	-\$162,818
Adamas Opportunities L.P. (3 Yr)	04-3514360	\$460,800	340,643	71,705	\$412,348
Adamas Opportunities L.P. (1 Yr)	04-3514360	\$0	316,630	68,088	\$384,718
Adamas Partners L.P.	04-3514358	\$388,400	392,412	27,938	\$420,350
Davidson Kempner	13-3597020	\$616,727	616,727	0	\$616,727
TIFF Partners III L.P.	58-2426874	\$120,159	151,256	1,011	\$152,267
TIFF Partners IV L.P.	54-2007544	\$468,955	603,518	18,168	\$621,686
Oak Hill Capital Partners Bermuda	52-2265365	-\$68	-69		-\$69
Oak Hill Capital Partners	22-3624482	\$0	-239		-\$239
Silchester	36-7045759	\$963,111	963,111		\$963,111
TIFF Secondary Partners (TSP) TIFF I	56-2384583	\$9,122	9,661		9,661
Hintz , Holman & Rubillard - Jubilee Tax Exempt	13-4036300	-\$24,000	632,581		632,581
Commonfund Private Equity-VI	16-1720029	\$263,719	271,995	-8,276	263,719
Commonfund Private Equity- VII	20-8306306	\$81,974	94,614	-12,640	81,974
Commonfund International Private Equity VI	20-8306365	\$293,865	292,465	1,400	293,865
Commonfund Capital Venture Partners VIII	11-3814030	\$254,909	255,883	-974	254,909
Brandywine Global Opportunistic Absolute Return	46-1858165	\$509,376	509,376		509,376
Adage Capital	04-3574590	\$2,489,192	2,489,192		2,489,192
Forester Capital-B	13-4079780	\$1,076,824	956,403	179,661	1,136,064
1607 Capital Partners	26-1761983	\$154,485	154,485		154,485
Flag Real Assets	20-8736989	\$250,000	220,881	45,899	220,881
Newport Asia	06-6036761	\$255,016	255,016		255,016
Commonfund Capital Natl Resources Partners IX	37-1656529	-\$38,565	-28,268	-10,297	-38,565
Harvest MLP Inc Fund LLC	27-2968896	\$58,507	130,350	-71,843	58,507
Partnership Income		\$10,265,213	\$10,970,812	\$272,944	\$11,197,857
Misc Income		\$9,577	\$9,577		
P/Y True up K-1 to Books (reported on 2013 Tax Return)		\$152,654			
Total Per Line 11		\$10,427,444	\$10,980,389		

06-6036761

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

Schedule 2

		1,233	0	0	1,233
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	Robinson Cole	452			452
2	CT Corp	781			781

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

Schedule 3

		54,935	40,332	0	14,603
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	O'Connor Davies et al	50,415	40,332		10,083
2	Preferred Pension	4,520			4,520

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

Schedule 4

		1,067,397	429,164	0	638,233
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	Dr Mckhann	225,000			225,000
2	Dr Blakemore	50,000			50,000
3	Dr Magistetti	35,000			35,000
4	Dr Iran	10,000			10,000
5	Dr Jamisson	37,500			37,500
6	Honoraria and Reviews- Less Than \$5,000	79,500			79,500
7	Dr Treisman	12,500			12,500
8	Dr Albert	25,000			25,000
9	Cambridge Assoc	136,001	136,001		
10	Silchester	111,117	111,117		
11	First Republic	14,303	14,303		
12	Eagle Management Advisors	107,490	107,490		
13	BrandyWine Fund	46,309	46,309		
14	JP Morgan Chase	13,944	13,944		
15	Dr Boatman	7,500			7,500
16	Freelance Writers	14,700			14,700
17	Idealist Consulting	37,455			37,455
18	Npower	7,500			7,500
19	Thought Machine	25,923			25,923
20	American Technology Services	11,751			11,751
21	Andrew Kahn	14,663			14,663
22	Bruce McEwen	7,000			7,000
23	Iland Internet Solutions	37,241			37,241

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Schedule 5

Part 4, Line 18 (990-PF) - Taxes

		320,303	0	0	0
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	US Excise Tax	225,000			0
2	US UBT	73,969			0
3	NYS Tax	21,334			0

06-6036761

Sc bedule 6

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

	Description	Date Acquired	Method of Computation	Asset Life	Cost or Other Basis	Beginning Accumulated Depreciation	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income
1	Leasehold Improvements NYO	various	various	various	410,438	114,706	39,874	3,987	-

06-6036761

Schedule 7

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

		274,073	0	0	221,300
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	Insurance	85,466			85,466
2	Computers	91,801			91,801
3	Dues/Subscription	5,053			5,053
4	Filing Fees	3,182			3,182
5	Prof Devel	3,723			3,723
6	Office Expense	25,925			25,925
7	Miscellaneous	10,161			10,161
8	Telephone-Fax-Copier	48,762			48,762
9	Accrual to Cash Adjustment				-52,773

Charles A Dana Foundation
Form 990 PF-Part II
06-6036761
Year 2014

Schedule 8

	Line	column a Book Value	column b Book Value	column c Fair Value
Corporate Stock	10b			
Equities- See Attached 8A		\$11,766,157	12,955,003	\$12,955,003
Money Market Fund- See Statement 8A		\$52,537	428,270	\$428,270
Sub-total		<u>\$11,818,694</u>	<u>\$13,383,273</u>	<u>\$13,383,273</u>
Mutual Funds :				
Vanguard Emerging Mkts.-Index Fund		9,049,846	5,952,036	5,952,034
Bridgeway Funds		10,024,396	11,178,402	11,178,402
Osterweis Strategic Income Fund		0	3,989,853	3,989,853
Vanguard Precious Metal & Mining Fund		4,451,925	3,943,871	3,943,871
Vanguard Energy Fund		6,839,262	5,866,861	5,866,861
Vanguard Short Term Treasury		12,439,307	6,510,419	6,510,419
Vanguard Developed Markets		4,022,635	3,795,744	3,795,744
Sub-total		<u>46,827,371</u>	<u>41,237,186</u>	<u>41,237,184</u>
Total Corporate and Mutual Funds Stock	10b	<u>\$58,646,065</u>	<u>\$54,620,459</u>	<u>\$54,620,457</u>

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Schedule 8A (1 of 2)



FIRST REPUBLIC TRUST COMPANY
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ACCOUNT STATEMENT

PAGE 5

ACCOUNT NUMBER: XXXXXX1656

JANUARY 01, 2014 TO DECEMBER 31, 2014

INVESTMENT DETAIL

QUANTITY	DESCRIPTION	MARKET VALUE	YIELD TO MKT	COST BASIS
CASH EQUIVALENTS				
SAVINGS ACCOUNTS				
428,269.680	FIRST REPUBLIC BANK MONEY MARKET	428,269.68	0.06	428,269.68
TOTAL	SAVINGS ACCOUNTS	428,269.68	0.06	428,269.68
TOTAL	CASH EQUIVALENTS	428,269.68	0.06	428,269.68
EQUITIES				
COMMON STOCK				
5,000.000	ALTERA CORP COM	184,700.00	1.95	101,731.00
875.000	AMAZON.COM INC	271,556.25	0.00	261,563.79
1,300.000	ANADARKO PETROLEUM	107,250.00	1.31	102,902.93
5,000.000	BERKELEY W R CORP	256,300.00	0.86	115,043.39
5,450.000	BERKSHIRE HATHAWAY INC DEL CL B NEW	818,317.50	0.00	430,758.34
12,900.000	CITIGROUP INC COM	698,019.00	0.07	608,267.00
10,900.000	COCA COLA CO COM	460,198.00	2.89	246,973.10
4,750.000	COMCAST CORP NEW CORP CL A SPL	273,433.75	1.56	71,139.80
3,600.000	CONSTELLATION BRANDS	353,412.00	0.32	156,086.64
4,100.000	DISCOVERY COMMUNICATIONS INC CLASS C	138,252.00	0.00	136,135.99
4,600.000	DISH NETWORK CORP CL A	335,294.00	2.74	224,418.58
4,600.000	ECOLAB INC COM	480,792.00	1.26	170,324.00
1,609.000	GOLDMAN SACHS GROUP INC	311,872.47	1.24	174,358.68
550.000	GOOGLE INCORPORATED	291,863.00	0.00	148,844.64
550.000	GOOGLE INCORPORATED CL C	289,520.00	0.00	148,470.02
2,200.000	JPMORGAN CHASE & CO	137,676.00	2.56	134,698.74
2,900.000	LOEWS CORP COM	121,858.00	0.59	93,140.17
15,900.000	MICROSOFT CORP	738,555.00	2.67	415,450.09
10,800.000	MONDELEZ INTL INC CLASS A	392,310.00	1.65	232,578.49
11,600.000	MORGAN STANLEY CO	450,080.00	1.03	158,557.59
6,600.000	NOBLE ENERGY INC	313,038.00	1.52	35,478.30
20,300.000	ORACLE CORP COM	912,891.00	1.07	592,260.14
4,200.000	PEPSICO INC	397,152.00	2.77	274,547.65
2,400.000	PRAXAIR INC	310,944.00	2.01	97,800.00
2,100.000	THERMO FISHER SCIENTIFIC INC	263,109.00	0.48	70,713.78

06-6036761

Schedule 8 A (2 of 2)



FIRST REPUBLIC TRUST COMPANY
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ACCOUNT STATEMENT

PAGE 6

ACCOUNT NUMBER: XXXXXX1656

JANUARY 01, 2014 TO DECEMBER 31, 2014

INVESTMENT DETAIL (CONTINUED)

QUANTITY	DESCRIPTION	MARKET VALUE	YIELD TO MKT	COST BASIS
COMMON STOCK				
1,100,000	3M CO FR.	180,752.00	2.50	78,563.33
16,400,000	TWENTY FIRST CENTY FOX INC CL B	604,996.00	0.68	510,749.82
5,980,000	UNITED HEALTH GROUP INC	604,518.20	1.48	176,159.96
1,800,000	VALEANT PHARMACEUTICALS INTL INC CDA	258,488.46	0.26	239,174.64
2,400,000	WAL-MART STORES INC	206,112.00	2.24	109,520.40
TOTAL	COMMON STOCK	11,163,259.63	1.22	6,316,411.00
ADR - COMMON STOCK				
1,200,000	ALIBABA GROUP HLDG LTD SPONSORED ADS	124,728.00	0.00	81,600.00
2,900,000	NESTLE S A SPONSORED ADR	211,555.00	2.78	110,774.14
7,300,000	AON PLC SHS CL A	692,259.00	1.05	262,583.66
TOTAL	ADR - COMMON STOCK	1,028,542.00	1.28	454,957.80
FOREIGN HELD EQUITIES				
15,798,000	LIBERTY GLOBAL PLC	763,201.38	0.00	273,582.94
TOTAL	FOREIGN HELD EQUITIES	763,201.38	0.00	273,582.94
TOTAL	EQUITIES	12,955,003.01	1.16	7,044,951.74
GRAND TOTAL ASSETS		13,383,272.69	1.12	7,473,221.42

The Charles A. Dana Foundation, Incorporated
Other Investments
Part II- Line 13
2014

06-6036761
Schedule 9

	column (a) Net Book Value	column (b) Net Book Value	column (c) Fair Market Value
	01-Jan	31-Dec	31-Dec
Adage Capital	\$20,571,595	24,341,174	24,341,174
Black Bear Offshore Fund - Offshore	72,404	17,843	17,843
Hintz , Holman & Rubillard - Jubilee Tax Exempt	5,998,263	6,244,654	6,244,654
Greenlight Capital Offshore	7,215,986	7,764,450	7,764,450
Davidson-Kempner	9,314,406	11,797,774	11,797,774
King Street Capital	7,874,069	8,231,325	8,231,325
Adamas Opportunities L.P.	8,229,259	8,487,156	8,487,156
Adamas Partners L.P.	7,204,563	7,452,103	7,452,103
Forester Capital-B	8,107,147	8,580,651	8,580,651
Silchester	10,916,741	10,693,014	10,693,014
1607 Capital Partners	7,504,482	7,314,713	7,314,713
Newport Asia	6,449,754	6,756,918	6,756,918
Prince Street Opportunities	6,565,200	6,822,215	6,822,215
Prince Street Institutional Offshore Ltd	0	3,075,580	3,075,580
Abbott Capital Fund IV	4,152,964	3,215,180	3,215,180
Abbott Capital Fund V	3,754,989	3,545,623	3,545,623
Abbott Capital Fund VI	2,330,490	3,311,245	3,311,245
Commonfund Private Equity-VI	3,941,915	3,380,526	3,380,526
Commonfund Private Equity- VII	3,873,976	4,178,190	4,178,190
Commonfund International Partners VI	6,361,230	5,660,629	5,660,629
Commonfund Venture Partners VIII	5,754,779	6,717,859	6,717,859
Knightsbridge Venture Capital	5,207,308	4,930,890	4,930,890
Oak Hill Capital Partners-Bermuda	29,548	29,480	29,480
Oak Hill Capital Partners	41,523	19,976	19,976
Sovereign New Millenium Fund	290,771	179,652	179,652
TIFF Secondary Partners (TSP) TIFF I	206,684	196,163	196,163
TIFF Partners III L.P.	707,684	621,520	621,520
TIFF Partners IV L.P.	1,700,894	946,097	946,097
Flag Real Assets	3,005,030	2,521,197	2,521,197
Commonfund Capital Natural Resources IX	264,191	581,489	581,489
Harvest Fund MLP Income Fund	2,074,834	2,417,409	2,417,409
Brandywine Global Opportunistic Absolute Return	7,635,318	7,013,954	7,013,954
Asian Century Quest (funds in transit)	4,268,291	0	0
Gold Bullion (Dana Publ)	9,129,108	9,140,477	9,140,477
Rounding	3	2	2
Total Other Investments	\$170,755,399	\$176,187,128	\$176,187,128

06-6036761

Schedule 10

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

		410,438	114,706	154,580	295,732	255,858	255,858
		Cost or Other Basis	Accumulated Depreciation Beg. of Year	Accumulated Depreciation End of Year	Book Value Beg. of Year	Book Value End of Year	FMV End of Year
1	Leasehold Improvements	410,438	114,706	154,580	295,732	255,858	255,858

06-6036761

statement 11

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

		262,403	232,571	232,571
		Book Value	Book Value	FMV End
		Beg of Year	End of Year	of Year
1	Prepaid Expenses	125,738	65,901	65,901
2	Security Deposits	136,665	132,170	132,170
3	Prepaid Taxes	0	34,500	34,500

06-6036761
Part II, Line 22 (990-PF) - Other Liabilities

Statement 12

		4,276,405	5,103,934
Description		Beginning Balance	Ending Balance
1	Deferred Taxes	1,000,000	1,004,000
2	Deferred Rent	364,470	366,477
3	Postretirement Benefit Obligation	2,911,935	3,733,457

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

Statement 12

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

1	Excise Taxes-Deferred	1	4,000
2	Change in Net Unrealized Appreciation in Investment Assets	2	578,075
3	Total	3	582,075

The Charles A. Dana Foundation, Incorporated
Capital Gains and Losses Summary
Part IV- Line 1a

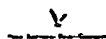
06-6036761

Schedule 13

2014

	Proceeds	Cost	Gain (Loss)
Oak Hill Partners	\$19,491	\$0	19,491
Aberdeen Asset Management	3,630	0	3,630
Eagle Management Account (see attached schedule)	2,739,494	1,336,855	1,402,639
Vanguard Emerging Markets	3,000,000	2,109,954	890,046
Vanguard Short Term Treasury	6,000,000	6,018,725	-18,725
Capital Gains(Losses)	<u>\$11,762,615</u>	<u>\$9,465,534</u>	<u>\$2,297,081</u>

06-6036761


FIRST REPUBLIC TRUST COMPANY
Realized Gain/Loss Report

Run on 01/26/2015 08:39:11 AM

Start Date: 01/01/2014

End Date: 12/31/2014

Account:

Administrator: TINA BARTON TMB 212-259-3644

THE CHARLES A. DANA FOUNDATION, INCORPORATED

Description	Sold	Acquired	Proceeds	Cost	Gain/Loss Covered
** SHORT TERM CAPITAL GAIN (LOSS)					
1300 SHARES OF DISH NETWORK CORP CL A	05/19/2014	05/30/2013	77,374.29	51,342.85	26,031.44 Covered
900 SHARES OF DISH NETWORK CORP CL A	05/19/2014	06/12/2013	53,566.81	34,657.02	18,909.79 Covered
900 SHARES OF ALIBABA GROUP HLDG LTD SPONSORED ADS	11/20/2014	09/18/2014	99,377.96	61,200.00	38,177.96 Covered
** TOTAL SHORT TERM CAPITAL GAIN (LOSS)			230,319.06	147,199.87	83,119.19
** LONG TERM CAPITAL GAIN (LOSS)					
12500 SHARES OF TWENTY FIRST CENTY FOX INC CL A	01/28/2014	02/17/2009	391,285.69	68,524.00	322,761.69 Non Covered
300 SHARES OF ECOLAB INC COM	01/30/2014	07/11/2008	30,301.84	12,903.00	17,398.84 Non Covered
3125 SHARES OF NEWS CORP CL A	01/30/2014	02/17/2009	50,641.92	8,863.50	41,778.42 Non Covered
1000 SHARES OF THERMO FISHER SCIENTIFIC INC	02/20/2014	03/19/2009	124,501.73	33,853.80	90,647.93 Non Covered
2100 SHARES OF APACHE CORP	02/20/2014	09/19/2012	177,351.36	187,288.29	9,936.93 Covered
1000 SHARES OF APACHE CORP	02/20/2014	12/28/2012	84,453.03	77,478.40	6,974.63 Covered
1600 SHARES OF ALTERA CORP COM	03/18/2014	12/10/2004	57,462.72	32,553.92	24,908.80 Non Covered
1200 SHARES OF CONSTELLATION BRANDS	03/31/2014	02/14/2013	101,884.82	52,028.88	49,855.94 Covered
2400 SHARES OF FIDELITY NATIONAL INFO SVCS INC	04/17/2014	05/21/2009	126,466.88	44,467.44	81,999.44 Non Covered
1400 SHARES OF AON PLC SHS CL A	05/13/2014	07/15/2010	121,094.24	51,568.58	69,525.66 Non Covered
600 SHARES OF PRAXAIR INC	05/16/2014	08/27/2004	78,507.06	24,450.00	54,057.06 Non Covered
5000 SHARES OF MORGAN STANLEY CO	05/16/2014	12/04/2012	149,999.18	83,027.00	66,972.18 Covered
2200 SHARES OF FIDELITY NATIONAL INFO SVCS INC	06/05/2014	05/21/2009	119,644.35	40,761.82	78,882.53 Non Covered
2800 SHARES OF LOEWS CORP COM	07/14/2014	05/28/2010	122,791.28	91,038.92	31,752.36 Non Covered
1200 SHARES OF MORGAN STANLEY CO	07/17/2014	08/07/2012	38,846.62	17,471.76	21,374.86 Covered
2100 SHARES OF MORGAN STANLEY CO	07/17/2014	12/04/2012	67,981.58	34,871.34	33,110.24 Covered
800 SHARES OF BERKSHIRE HATHAWAY INC DEL CL B NEW	11/05/2014	03/22/2012	114,177.47	64,746.96	49,430.51 Covered
2100 SHARES OF WAL-MART STORES INC	11/05/2014	03/23/2007	163,458.07	101,017.77	62,440.30 Non Covered
200 SHARES OF WAL-MART STORES INC	11/13/2014	06/26/2006	16,430.50	9,614.76	6,815.74 Non Covered
700 SHARES OF	11/13/2014	03/23/2007	57,506.73	33,672.59	23,834.14 Non

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WAL-MART STORES INC						Covered
900 SHARES OF	11/14/2014	10/01/2009	48,458.61	13,479.12	34,979.49	Non
COMCAST CORP NEW CORP CL A SPL						Covered
500 SHARES OF	11/21/2014	03/22/2012	73,317.38	40,466.85	32,850.53	Covered
BERKSHIRE HATHAWAY INC DEL CL B NEW						
350 SHARES OF	11/21/2014	05/17/2012	51,322.16	28,063.95	23,258.21	Covered
BERKSHIRE HATHAWAY INC DEL CL B NEW						
2500 SHARES OF	11/26/2014	10/01/2009	141,289.62	37,442.00	103,847.62	Non
COMCAST CORP NEW CORP CL A SPL						Covered
** TOTAL LONG TERM CAPITAL GAIN (LOSS)			2,509,174.84	1,189,654.65	1,319,520.19	

SUMMARY

Description	Amount
** SUMMARY OF CAPITAL GAINS AND LOSSES **	
TOTAL SHORT TERM CAPITAL GAIN (LOSS)	83,119.19
TOTAL SHORT TERM CAPITAL GAINS DIVIDENDS	0.00
NET SHORT TERM CAPITAL GAIN (LOSS)	83,119.19
TOTAL LONG TERM CAPITAL GAIN (LOSS)	1,319,520.19
TOTAL LONG TERM CAPITAL GAINS DIVIDENDS	0.00
TOTAL 28% RATE CAPITAL GAINS DIVIDENDS	0.00
TOTAL SEC 1250 CAPITAL GAINS DIVIDENDS	0.00
TOTAL SEC 1202 CAPITAL GAINS DIVIDENDS	0.00
NET LONG TERM CAPITAL GAIN (LOSS)	1,319,520.19
NET CAPITAL GAIN (LOSS)	1,402,639.38
TOTAL GAIN/LOSS FROM SALES WITH UNKNOWN COST/ACQUISITION DATE	0.00

Back

Save

Mail

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

2014

Statement 14

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

(A) Name of Controlled Entity:

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

(B) Employer EIN: 06-1360140

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

(D) Amount of Transfer: \$2,982,227

The Charles A. Dana Foundation, Incorporated
ID No. 06-6036761

Statement 15

Year 2014

PART VII-B
Question 5c

FORM 990-PF

STATEMENT on EXPENDITURE RESPONSIBILITY

1. Grantee's name and address:

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

2. Date and amount of grant.

Grants totaling \$ 2,982,227 were paid to Dana Alliance during 2014

3. Purpose of grant:

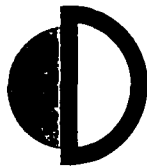
The purpose of the grants was to provide for the general support of Dana Alliance to enable it to carry out its charitable purposes.

4 As of December 31,2014 the entire grant had been expended by Dana Alliance.

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

6 Dana Alliance provided Dana Foundation with a 2014 Annual Report in June 2015

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



**The
Dana
Alliance
for
Brain
Initiatives**

Chairman
Edward F. Rover

Vice Chairmen
Eric R. Kandel, M.D.
James D. Watson, Ph.D.

Executive Committee
Albert J. Aguayo, M.D.
Marilyn S. Albert, Ph.D.
Nancy C. Andreasen, M.D., Ph.D.
Carol A. Barnes, Ph.D.
Mark F. Bear, Ph.D.
Colin Blakemore, Ph.D., ScD, FRS
Floyd E. Bloom, M.D.
Dennis W. Choi, M.D., Ph.D.
Leon N. Cooper, Ph.D.
Joseph T. Coyle, M.D.
Fred H. Gage, Ph.D.
*Zach W. Hall, Ph.D.
Stephen L. Hauser, M.D.
David M. Holtzman, M.D.
Steven E. Hyman, M.D.
Thomas R. Insel, M.D.
Kay Redfield Jamison, Ph.D.
Story C. Landis, Ph.D.
Jeffrey A. Lieberman, M.D.
Joseph B. Martin, M.D., Ph.D.
Guy M. McKhann, M.D.
Herbert Pardes, M.D.
Steven M. Paul, M.D.
*Carla J. Shatz, Ph.D.

*Emeritus

Executive Director
Barbara E. Gill

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

www.dana.org

06-6036761

Statement 15 A (1st 2)

May 21, 2015

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

Gentlemen:

This is the written commitment required by Treasury Regulation Section 53.4945-5 (b) (3) for the grant authorized in 2014 to the Dana Alliance for Brain Initiatives, Inc. in the amount of \$2,982,227 for the purpose of educating and informing the general public and interested professionals about advancements in research on the human brain and its diseases, and the continuing need for such research. All references to Sections in this letter are to Sections of the Internal Revenue Code.

We agree:

- (I) To pay any portion of the amount granted which is not used for the purpose of the grant,
- (II). To submit full and complete annual reports on the matter in which funds are spent and the progress made in accomplishing the purposes of the grant,
- (III) To maintain a separate bank account in which the grant and all income thereon will be deposited and to maintain records of receipts and expenditures and to make our books and records available to you at reasonable times, and
- (IV) Not to use any of the funds:
 - (a) To carry on propaganda, or otherwise to attempt to influence legislation (within the meaning of Section 4945 (d) (1)),
 - (b) To influence the outcome of any specific public election or to carry on, directly or indirectly, any voter registration drive (within the meaning of Section 4945 (d) (2)),

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Statement 15 A (2 of 2)

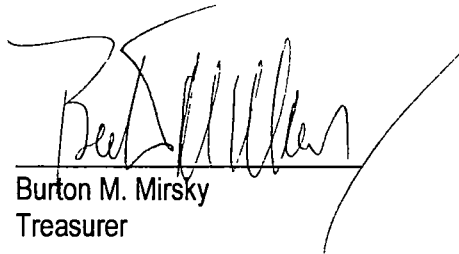
May 21, 2015
Page 2

- (c) To make any grant which does not comply with the requirements of Section 4945 (d) (3) or (4) or
- (d) To undertake any activity for any purpose other than one specified in Section 170 (c) (2) (B).

Very truly yours,

Dana Alliance for Brain Initiatives, Inc.

By:


Burton M. Mirsky
Treasurer

Part VIII Line 1

Statement 16

List of Officers and Directors

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Edward F. Rover 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Chm and Pres. President/Director Hours - 26	\$582,763	\$63,856	\$0
Barbara Rich 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Exec. Vice President Asst. Secretary Hours-30	244,648	54,080	0
Burton M. Mirsky 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Exec. VP and Treasurer Hours- 26	221,168	58,814	0
Barbara E. Gill 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Exec. Vice President/ Asst. Treasurer Hours- 3	28,786	8,836	0
LaSalle D. Lefall, Jr. MD 505 Fifth Avenue 6th Floor	Director Hours-2	6,000	0	0
Steven E. Hyman, MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	6,000	335	0
Charles A. Dana III 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	335	0
Edward Bleier 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	585	0

Part VIII Line 1

List of Officers and Directors

Statement 16

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Wallace Cook 505 Fifth Avenue 6th Floor	Secretary and Director 2 Hours	\$6,000	\$335	\$0
Hildegarde Mahoney 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	0	0
Ann McLaughlin Korologos 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	585	0
Herbert J. Siegel 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	875	0
Peter Nadosy 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	0	0
	Grand Total	<u>\$1,131,365</u>	<u>\$188,636</u>	<u>\$0</u>

Year 2014

Compensation reported in the 2014 Form 990PF of The Dana Alliance For Brain Initiatives, Inc. for directors and officers who are also directors and officers of the The Charles A. Dana Foundation, Incorporated that also received Compensation from The Dana Alliance for Brain Initiatives, is as follows:

Form 990-PF

List of Officers and Directors

Name and Address	Title/ Average Hours -	Compensation	Employee Benefits	Expense Account
Edward F. Rover 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Chairman/President Hours - 9	\$194,254	\$21,286	\$0
Burton M.Mirsky 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Secretary/Tresurer Hours- 9	73,723	19,604	0
Barbara E. Gill 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Exec. Vice President Hours- 32	259,070	79,525	0
LaSalle D. Leffall,Jr. MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	3,000	0	0
Steven E. Hyman, MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	3,000	0	0
	Totals	<u>\$533,047</u>	<u>\$120,415</u>	<u>\$0</u>

The Charles A. Dana Foundation, Incorporated**Statement 17**

06-6036761

Year 2014

Form 990-PF

Part VIII, Line 2

List of Highest Paid Employees

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Carolyn Asbury 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Snr Consultant 35 Hours	181,500	\$37,429	0
James Rutt 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director, IT 24 Hours	\$147,645	\$64,422	0
Mary Lucas 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Grants Manager 35 Hours	103,900	\$38,344	0
Rosemary Shields 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director of Admin. 27 Hours	97,975	\$32,447	0
Patricia Mangini 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Dir Human Resources 32 Hours	79,350	\$47,345	0
		<u>\$428,870</u>	<u>\$182,558</u>	<u>\$0</u>

The Charles A. Dana Foundation, Incorporated

Year 2014

EIN # 06-6036761

Statement 17A

Certain of the individuals listed on Part VIII , line 2 also perform services for Dana Alliance for Brain Initiatives , Inc. (Alliance), EIN 06-1360140. Foundation exercises expenditure responsibility over Alliance. Compensation is paid by a common paymaster. Compensation information for these individuals for 2014 from Alliance is as follows:

Employee	Title/Hours	Compensation	Benefits	Other
Jim Rutt	Director, IT/ 9	\$26,055	\$11,369	\$0
Rosemary Shields	Director of Admin/8	32,525	\$10,949	0
Patricia Mangini	Director Human Resources/8	26,450	\$15,782	0
		<u>\$85,030</u>	<u>\$38,100</u>	<u>\$0</u>

The Charles A. Dana Foundation, Incorporated
06-6036761
2014

Statement 18

Form 990-PF, Part IX-A

Summary of Four Largest Direct Charitable Activities: **Total Expenses: \$4,419,762**

GRANTS: The Foundation administers the various programs that support research in science and health, through the specifically designed objectives established by the Foundation's Board of Directors. The Foundation's principal interest is in neuroscience, but also supports qualified civic and cultural organizations and maintains a matching charitable gifts program for its employees. The 2014 charitable gifts awarded and paid by the Foundation are listed in Statement 20.

Expenses: \$1,649,113

OUTREACH—NEWS OFFICE: The Foundation operates a free full-service news bureau that identifies media opportunities and facilitates news coverage of areas of interest to the Foundation. The Foundation also acts as an in-house resource for science-based, primarily neuroscience, materials. It provides a resource service for journalists seeking background and access to experts in the neurosciences. In 2014, the Foundation: (1) published two briefing papers and six Q&A's, which were sent to select media and posted in the media section of the Dana website.; (2) sent tailored Brain Awareness Week pitches to science, health, feature, and education reporters; (3) wrote and distributed media advisories for the Staying Sharp series; (4) wrote media alerts about Dana programs; and (5) maintained the online Expert Directory of Dana Alliance members, specifically for the media. Dana continued the *Design a Brain Experiment Competition*, a contest for US high school students to design original human brain-related research proposals. The winning classroom receives a \$500 cash prize, as judged by an independent panel of neuroscientists. The Foundation sponsored the *New York City Regional Brain Bee*, a neuroscience competition for high school students. Answers are judged by an independent panel of neuroscientists. The winner receives a \$500 cash prize and an expense-paid trip to the *U. S. National Brain Bee* at the University of Maryland. Second and third place winners receive cash prizes of \$300 and \$200.

Expenses: \$1,233,842

The Charles A. Dana Foundation, Incorporated
06-6036761
2014

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

Expenses: \$1,028,338

OUTREACH--PUBLICATIONS: Each month, the Foundation publishes *Brain in the News* (BITN) and *Cerebrum*. BITN is published in print, with select items published online and *Cerebrum* is an online publication, but an anthology of the year's articles and book reviews is now available in print under the Dana Press imprint. The Foundation publishes online the "Report on Progress" 8-10 times a year and publishes eBooks. The Foundation provides editorial assistance for scientist/authors.

Expenses: \$508,469

THE DANA FOUNDATION

06-6036761

Statement 19 (1 of 6)

The Dana Foundation, established in 1950 by the industrialist, philanthropist, and legislator Charles A. Dana, is a private philanthropic foundation with principal interests in science, health, and education. The Foundation's current area of research emphasis is in neuroscience. Selected proposals have the potential to improve human health or functioning.

GENERAL POLICIES

The Foundation:

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

APPLICATION GUIDELINES

Neuroscience Grants

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

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

→ Search Dana Grants

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

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

06-6036761

Statement 19/286

MEMORANDUM

TO: U.S. MEDICAL SCHOOL DEANS AND PRESIDENTS OF
SELECTED BIOMEDICAL RESEARCH INSTITUTIONS

FROM: THE DANA FOUNDATION

SUBJECT: 2014 DAVID MAHONEY NEUROIMAGING PROGRAM REQUEST
FOR PROPOSALS (RFP)

DATE: 12/17/2014

Enclosed is the RFP for the Dana Foundation's David Mahoney Neuroimaging Program.

Since the AAMC no longer provides mailing labels for current academic chairpersons, we ask that your office forward this RFP to all relevant department chairs and to your office of sponsored research.

This RFP is also available on the Foundation's website, www.dana.org/grants.

Please note that this call for Neuroimaging proposals will be the Foundation's only RFP for 2014.

The Charles A. Dana Foundation Announces the 2014

David Mahoney Neuroimaging Program

REQUEST FOR PROPOSALS

Using Brain and Immune Imaging Innovations to Improve Human Health

PLEASE FORWARD TO ALL APPROPRIATE DEPARTMENT CHAIRS AND SPONSORED RESEARCH OFFICES

Application Deadline: Tuesday, February 25th, 2014 at Noon

The Dana Foundation's neuroimaging research program focuses on improving human brain and brain-immune functioning to promote health, and prevent and treat disease. Funds support pilot-testing by investigators who are early in their research careers of promising, high-risk, and innovative ideas with a **direct** clinical application. Successful studies are then anticipated to be competitive for larger-scale support from other funders. Grant amounts may be up to \$200,000 total, payable over three years. Applicants will be informed within ten weeks of the preliminary proposal deadline on whether they are invited to prepare full proposals. The first awards will be announced in September 2014. Any subsequent award announcements will be made in December 2014.

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

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

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

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

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

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

Eligibility:

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

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

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

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

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

All applicants please note:

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

Applying:

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

Page 1:

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

Pages 2-4:

- Section I: A clearly and succinctly stated hypothesis.
- Section II: The aims of the proposed research project. What disease(s), disorder(s) or injuries would be better understood, diagnosed, or treated? Or, what normal brain function or brain-immune interaction would be better understood? Or, what imaging technology would be refined and for what specific purposes? Such technology development or modification aims need to be accompanied by initial evidence of the project's feasibility.
- Section III: The research significance and potential clinical application(s) of the research.
- Section IV: The methods. Please clearly describe the research design and specify tests and analyses proposed to develop the pilot data. *If enrollment of human participants is planned, please provide preliminary evidence that the number required can be recruited from the participating institution(s).*
- Section V: The qualifications of the primary investigator(s) for undertaking the proposed research. What facilities and resources at the applicant institution(s) would be used in the research? Please provide evidence that required technologies would be available for this project.

Additional Pages:

- Appendix A: A list of all active grants and pending proposals by the applicant(s). *Please include an abstract that specifies the aims for any existing or pending grants from these sources of support that are related to, or could potentially overlap with, the proposed Dana study.*
- Appendix B: Please provide a standard NIH four-page format CV for the primary investigator(s).
- Appendix C: You may include up to two additional pages to list relevant references.
- Appendix D: *Optional:* If high resolution photographs are vital to illustrate or support the methodology proposed, please enclose 10 glossy originals.

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

Proposal Review and Notification of Grant Awards:

Preliminary proposals received by the February 25, 2014, deadline will be reviewed for further development. Late submissions will not be considered. Applicants will be informed within approximately ten weeks from preliminary proposal receipt on whether or not they are being invited to prepare full proposals. Please note below the Dana Foundation's current address.

Grants will be awarded on a "rolling" basis, with the first group of approved studies to be announced in September 2014 and the second group to be announced in December 2014.

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

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

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

Staff is unable to respond to inquiries regarding application content.

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

06 1030261

Statement 20

The Charles A Dana Foundation Incorporated
Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
ALBERT EINSTEIN COLLEGE OF MEDICINE (New York NY)	\$100,000				\$100,000	
Request Name Albert Einstein College of Medicine - Michael Lipton 2010872						
<i>Imaging</i>						
AMERICAN ASSOCIATION FOR THE ADVANCEMENT OF SCIENCE (Washington DC)		\$22,200			\$22,200	
Request Name American Association for the Advancement of Science - Erin Heath 14-11914						
<i>Neuroscience-Related</i>						
Request Name American Association for the Advancement of Science - Erin Heath 2010728						
<i>Public Affairs & Neuroscience-Related</i>						
Request Name American Association for the Advancement of Science - Mark Frankel 14-11915			(\$6,156)	(\$6,156)		
<i>Neuroscience-Related</i>						
Request Name American Association for the Advancement of Science - Mark Frankel 2011071		\$109,500			\$109,500	
<i>Neuroscience-Related</i>						
AMERICAN MUSEUM OF NATURAL HISTORY (New York NY)						
Request Name American Museum of Natural History - Kelly Thompson 14-11835						
<i>Neuroscience-Related</i>						
AMERICANS FOR OXFORD, INC. (New York NY)		\$5,000			\$5,000	

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The Charles A Dana Foundation Incorporated

Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
Request Name Americans for Oxford, Inc - Michael Cunningham 14-11813 <i>Neuroscience-Related</i>		\$10,000			\$10,000	
ARIZONA COMMUNITY FOUNDATION (Phetwiz 12) Request Name Arizona Community Foundation - Jacky Alling 2007483 <i>Arts Education Program</i>	\$5,000					\$5,000
ARIZONA UNIVERSITY COLLEGE OF MEDICINE (Phetwiz 12) Request Name University of Arizona College of Medicine - Mary-Frances O'Connor 14-11735 <i>Imaging</i>		\$200,000				\$200,000
ARTS ALLIANCE OF NORTHERN NEW HAMPSHIRE (Hilltop NH) Request Name Arts Alliance of Northern New Hampshire - Frumie Selchen 2006377 <i>Arts Education Program</i>	\$5,000		(\$5,000)			
Request Name Arts Alliance of Northern New Hampshire - Frumie Selchen 2008421 <i>Arts Education Program</i>	\$13,750		(\$13,750)			
BAYLOR COLLEGE OF MEDICINE (Houston TX) Request Name Baylor College of Medicine - Elizabeth Wilde 2007562 <i>Imaging</i>	\$30,000					\$30,000

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The Charles A Dana Foundation Incorporated
Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
BETH ISRAEL DEACONESS MEDICAL CENTER (Boston MA) Request Name: Beth Israel Deaconess Medical Center - Hak Soo Choi 2010078 Imaging	\$100,000				\$100,000	
BOSTON COLLEGE (Chestnut Hills MA) Request Name Boston College - Liane Young 2010436 Imaging	\$100,000				\$100,000	
BROOKLYN BOTANIC GARDEN (Brooklyn NY) Request Name Brooklyn Botanic Garden - Sarah Rodriguez 14-11836 Neuroscience-Related		\$200,000			\$50,000	\$150,000
BROOKLYN MUSEUM (Brooklyn NY) Request Name The Brooklyn Museum - Leslie Brauman 14-11837 Neuroscience-Related		\$2,500			\$2,500	
BURKE MEDICAL RESEARCH INSTITUTE (White Plains NY) Request Name The Brooklyn Museum - Leslie Brauman 14-11837		\$2,500			\$2,500	

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The Charles A Dana Foundation Incorporated

Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
Request Name Burke Medical Research Institute - Rajiv Ratan 2010527 CALIFORNIA, SAN FRANCISCO, SCHOOL OF MEDICINE (San Francisco CA) Request Name University of California, San Francisco School of Medicine - Michael Minzenberg 2010489 Imaging Request Name University of California, San Francisco School of Medicine - Stanley Prusiner and Kurt Giles (Phase II) 14-11906 Clinical Neuroscience Research	\$125,000				\$100,000	\$125,000
	\$100,000	\$300,000			\$100,000	\$300,000
Request Name CALIFORNIA INSTITUTE OF TECHNOLOGY (Pasadena CA) Request Name California Institute of Technology - Mikhail Shapiro (Phase I). 14- 11679 Imaging		\$100,000			\$100,000	
Request Name California Institute of Technology - Sarkis Mazmanian 2010844 Imaging			(\$50,000)	(\$50,000)		
CALIFORNIA LOS ANGELES SCHOOL OF MEDICINE (Los Angeles CA) Request Name University of California, Los Angeles School of Medicine - Michele Basso 2010968 Clinical Neuroscience Research	\$150,000					\$150,000
CALIFORNIA UNIVERSITY SOUTHERN SCHOOL OF MEDICINE (Los Angeles CA)						

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	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
Request Name University of Southern California School of Medicine - Lisa Aziz-Zadeh. 2010452 <i>Imaging</i>	\$100,000				\$100,000	
CHILDREN'S HOSPITAL OF PHILADELPHIA (Philadelphia PA)						
Request Name The Children's Hospital of Philadelphia - Daniel Licht 2007241 <i>Imaging</i>	\$50,000					\$50,000
COLD SPRING HARBOR LABORATORY (Cold Spring Harbor NY)						
Request Name Cold Spring Harbor Laboratory - Jan Witkowski 14-11820 <i>Clinical Neuroscience Research</i>		\$10,000			\$10,000	
COLUMBIA UNIVERSITY (New York NY)						
Request Name Columbia University - John Pile-Spellman 2007445 <i>Clinical Neuroscience Research</i>			(\$10,983)	(\$10,983)		
Request Name Columbia University - Sameer Sheth. 2011199 <i>Clinical Neuroscience Research</i>	\$141,000					\$141,000
Columbia University Department of Psychology (New York NY)						
Request Name College of Physicians & Surgeons of Columbia University - Guy McKhann, II 2000510 <i>Imaging</i>			(\$56,640)	(\$56,640)		

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The Charles A. Dana Foundation Incorporated

Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
COLUMBIA UNIVERSITY MEDICAL CENTER (New York NY) Request Name Columbia University Medical Center - Ragy Gurgis 2011189 Imaging	\$200,000					\$200,000
DANA-FARBER CANCER INSTITUTE (Boston MA) Request Name Dana-Farber Cancer Institute - Edward Benz 2011035 Public Affairs & Neuroscience-Related	\$900,000				\$100,000	\$800,000
DUKE UNIVERSITY MEDICAL CENTER (Durham NC) Request Name Duke University Medical Center - Jessica Sun & Joanne Kurtzberg 14-11648 Clinical Neuroscience Research		\$300,000			\$150,000	\$150,000
FEINSTEIN INSTITUTE FOR MEDICAL RESEARCH (Watertown MA) Request Name The Feinstein Institute for Medical Research - Andrew Feigin 2007540 Imaging	\$100,000					\$100,000
FRICK COLLECTION (New York NY) Request Name Frick Collection - Rosayn Anderson 14-11838 Neuroscience-Related		\$5,000			\$5,000	
GEORGE WASHINGTON UNIVERSITY MEDICAL CENTER (Washington DC)						

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The Charles A Dana Foundation Incorporated
Summary of Appropriations and Payments as of December 31, 2014

Request Name: The George Washington University Medical Center - Adeline Vanderver 2009094	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
<i>Neuroimmunology</i> GUGGENHEIM MUSEUM (New York NY)				(\$100,000)	\$100,000	
Request Name Solomon R Guggenheim Foundation - Cicely Wootan 14-11839 <i>Neuroscience-Related</i> HARVARD MEDICAL SCHOOL MCLEAN HOSPITAL (Boston MA)		\$5,000			\$5,000	
Request Name Harvard Medical School - Diego Pizzagalli 13-11589 <i>Clinical Neuroscience Research</i> HARVARD UNIVERSITY (Cambridge MA)	\$300,000				\$150,000	\$150,000
Request Name Harvard University - Elizabeth Speike 2008351 <i>Neuroscience-Related</i> HEBREW UNIVERSITY OF JERUSALEM * (Jerusalem IS)	\$362,000		(\$201,778)		\$160,222	
Request Name: The Hebrew University of Jerusalem - Ehud Zohary 2005451 <i>Imaging</i> INSTITUT DE TRANSPLANTATION ET DE RECHERCHE EN TRANSPLANTATION * (Marseille FR) Request Name Institut de Transplantation Et de Recherche en Transplantation - Sophie Brouard 2006149	\$50,000		(\$8,507)		\$41,493	

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The Charles A Dana Foundation Incorporated
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	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
<i>Human Immunology</i> INTERNATIONAL CENTER OF PHOTOGRAPHY (New York NY) Request Name International Center of Photography - Samantha O'Keefe 14-11840	\$40,000					\$40,000
<i>Neuroscience-Related</i> JEWISH MUSEUM (New York NY) Request Name The Jewish Museum - Elyse Buxbaum 14-11841		\$5,000			\$5,000	
<i>Neuroscience-Related</i> JOAN & SANFORD I. WEILL MEDICAL COLLEGE OF CORNELL UNIVERSITY (New York NY) Request Name Cornell University Medical College - Conor Liston 14-11711		\$5,000			\$5,000	
<i>Imaging</i> Request Name Cornell University Medical College - John Carucci 2008360		\$200,000			\$50,000	\$150,000
<i>Human Immunology</i> Request Name Cornell University Medical College - Mark Souvaidane 2010092	\$35,000					\$35,000
<i>Neuroimmunology</i> JOHNS HOPKINS UNIVERSITY (Baltimore MD) Request Name Johns Hopkins University - Andrea Cox 2005369	\$100,000					\$100,000

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The Charles A Dana Foundation Incorporated

Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
<i>Human Immunology</i>						
Request Name Johns Hopkins University - Guy McKhann 13-11629	\$158,000		(\$1,242)	(\$1,242)	\$158,000	
<i>Clinical Neuroscience Research</i>						
Request Name Johns Hopkins University - Guy McKhann 2010725	\$300,000				\$100,000	\$200,000
<i>Public Affairs & Neuroscience-Related</i>						
JOHNS HOPKINS UNIVERSITY SCHOOL OF MEDICINE (BALTIMORE MD)						
Request Name Johns Hopkins University School of Medicine - Irving Reti 13-11616		\$160,000			\$80,000	\$80,000
<i>Clinical Neuroscience Research</i>						
KENNEDY KRIEGER INSTITUTE (BALTIMORE MD)						
Request Name Kennedy Krieger Institute - Vikram Chub (Phase I) 14-11705		\$100,000			\$100,000	
<i>Imaging</i>						
LANKENAU INSTITUTE FOR MEDICAL RESEARCH (WILMUNGS PT)						
Request Name Lankenau Institute for Medical Research - Peter LeRoux 2010679 (Transfer from UPenn)			\$250,000		\$125,000	\$125,000
<i>Clinical Neuroscience Research</i>						
MASSACHUSETTS GENERAL HOSPITAL (BOSTON MA)						
Request Name Massachusetts General Hospital - Emad Eskandar 2011054						

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Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
<i>Clinical Neuroscience Research</i>						
MEDICAL UNIVERSITY OF SOUTH CAROLINA (Charlotte SC)	\$125,000					\$125,000
Request Name Medical University of South Carolina - Andy Shih 2011155						
Imaging	\$150,000				\$50,000	\$100,000
Request Name Medical University of South Carolina - Prakash Kara 2010061						
Imaging	\$100,000					\$100,000
MEMORIAL SLOAN-KETTERING CANCER CENTER (New York NY)						
Request Name Memorial Sloan-Kettering Cancer Center - Ingo Mellnghoff & Robert Young 14-11726		\$200,000			\$50,000	\$150,000
Imaging						
Request Name Memorial Sloan-Kettering Cancer Center - Michelle Bradbury 2010865	\$100,000					\$100,000
Imaging						
METROPOLITAN MUSEUM OF ART (New York NY)						
Request Name Metropolitan Museum of Art - Young Bae 14-11842						
Neuroscience-Related		\$3,000			\$3,000	
METROPOLITAN OPERA ASSOCIATION (New York NY)						
Request Name Metropolitan Opera Association - Anthony Bliss 15-11953						

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Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
<i>Neuroscience-Related</i> MORGAN LIBRARY & MUSEUM (New York NY) Request Name Morgan Library & Museum - Nicole Rivers 14-11843		\$2,500			\$2,500	
<i>Neuroscience-Related</i> MUSEUM OF MODERN ART (New York NY) Request Name Museum of Modern Art - Caroline Gerwitz 14-11845		\$7,500			\$7,500	
<i>Neuroscience-Related</i> MUSEUM OF THE CITY OF NEW YORK (New York NY) Request Name Museum of the City of New York - Ansley Davenport 14-11844		\$3,000			\$3,000	
<i>Neuroscience-Related</i> NATIONAL JEWISH HEALTH (Denver CO) Request Name National Jewish Health - Jordan Jacobelli 2010862		\$2,500			\$2,500	
<i>Imaging</i> NEUE GALERIE NEW YORK (New York NY) Request Name Neue Galerie New York - Phyllis La Ruccia 14-11846	\$100,000				\$100,000	
<i>Neuroscience-Related</i>		\$5,000			\$5,000	

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The Charles A Dana Foundation Incorporated
Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
NEUROETHICS SOCIETY (WASHINGTON DC) Request Name International Neuroethics Society - Steven Hyman 14-11868 <i>Neuroscience-Related</i>		\$104,000			\$104,000	
NEW MEXICO SCHOOL OF MEDICINE (ALBUQUERQUE NM) Request Name The University of New Mexico School of Medicine - Chris Abbott 2010833 <i>Imaging</i>	\$100,000				\$100,000	
NEW YORK ACADEMY OF SCIENCES (NEW YORK NY) Request Name New York Academy of Sciences - Barbara Sutton 14-11815 <i>Neuroscience-Related</i>		\$25,000			\$25,000	
NEW YORK BOTANICAL GARDEN (NEW YORK NY) Request Name New York Botanical Garden - Catherine Farrell 14-11847 <i>Neuroscience-Related</i>		\$2,500			\$2,500	
NEW YORK PHILHARMONIC (NEW YORK NY) Request Name New York Philharmonic - Nancy Kingston 14-11867 <i>Neuroscience-Related</i>		\$5,000			\$5,000	
NEW YORK PRESBYTERIAN HOSPITAL (NEW YORK NY)						

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The Charles A Dana Foundation Incorporated
Summary of Appropriations and Payments as of December 31, 2014

Request Name	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
Request Name New York Presbyterian Hospital - Jan Claassen & J Michael Schmidt. 2010973 <i>Clinical Neuroscience Research</i>	\$150,000				\$150,000	
New York SUNY STONY BROOK HEALTH SCIENCES CENTER (STONY BROOK NY) Request Name SUNY Stony Brook School of Medicine - Ramun Parsey 2008550 <i>Imaging</i>	\$100,000				\$100,000	
NEW YORK UNIVERSITY SCHOOL OF MEDICINE (New York NY) Request Name New York University School of Medicine - Adam Carter 2010051 <i>Imaging</i>			(\$619)	(\$619)		
Request Name New York University School of Medicine - Susan Schwab 2011147 <i>Imaging</i>	\$200,000				\$100,000	\$100,000
NONPROFIT COORDINATING COMMITTEE OF NEW YORK (New York NY) Request Name Nonprofit Coordinating Committee of New York - Michael Clark 14-11814 <i>Neuroscience-Related</i>		\$25,000			\$25,000	
NORTHWESTERN UNIVERSITY (Evanston IL) Request Name Northwestern University - Nina Kraus 14-11918 <i>Clinical Neuroscience Research</i>		\$166,000				\$166,000

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The Charles A Dana Foundation Incorporated
Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
PITTSBURGH UNIVERSITY (PITTSBURGH PA) Request Name University of Pittsburgh - Francis Lotrich 2010879 <i>Imaging</i>	\$100,000					\$100,000
RESEARCH! AMERICA (ALEXANDRIA VA) Request Name Research!America - Mary Woolley 14-11913 <i>Neuroscience-Related</i>		\$20,000			\$20,000	
ROCKEFELLER UNIVERSITY (NEW YORK NY) Request Name Rockefeller University - Bruce McEwen 2010685 <i>Clinical Neuroscience Research</i>	\$100,000				\$100,000	
RUBIN MUSEUM OF ART (NEW YORK NY) Request Name Rubin Museum of Art - Sarah Blumberg 14-11848 <i>Neuroscience-Related</i>		\$5,000			\$5,000	
SALK INSTITUTE FOR BIOLOGICAL STUDIES (LA JOLLA CA) Request Name The Salk Institute for Biological Studies - Xin Jun 2011170 <i>Imaging</i>	\$150,000				\$50,000	\$100,000
SOCIETY FOR NEUROSCIENCE (SFN) (WASHINGTON DC)						

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Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
Request Name: Suchting Federation of European Neuroscience Societies Trust Foundation - Memo Gibson 14-11644 <i>Neuroscience-Related</i>	\$29,158				\$29,158	
Request Name: Suchting Federation of European Neuroscience Societies Trust Foundation - Memo Gibson 14-11911 <i>Neuroscience-Related</i>		\$35,000			\$35,000	
TEAPOT TRUST #: (LONDON EIGHTH)						
Request Name: Teapot Trust - Laura Young 14-11827 <i>Neuroscience-Related</i>		\$1,700			\$1,700	
UNIVERSITY COLLEGE LONDON * (LONDON EIGHTH)						
Request Name: University College London - Martin Rossor & Mark Pepys 14-11869 <i>Clinical Neuroscience Research</i>		\$250,000			\$125,000	\$125,000
UNIVERSITY OF CALIFORNIA, SAN DIEGO (SAN DIEGO CA)						
Request Name: University of California San Diego - Michael Rafii 14-11665 <i>Clinical Neuroscience Research</i>		\$300,000			\$150,000	\$150,000
UNIVERSITY OF CALIFORNIA LOS ANGELES (LOS ANGELES CA)						
Request Name: University of California, Los Angeles - Martin Monti 14-11643 <i>Clinical Neuroscience Research</i>		\$300,000			\$150,000	\$150,000

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The Charles A Dana Foundation Incorporated

Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
Request Name University of California, Los Angeles - Nim Tottenham. 2010814 <i>Imaging</i>	\$100,000					\$100,000
UNIVERSITY OF COLORADO SCHOOL OF MEDICINE (DENVER CO) Request Name University of Colorado Denver - Brian Berman 14-11699 <i>Imaging</i>		\$200,000			\$50,000	\$150,000
UNIVERSITY OF OXFORD (New York NY) Request Name University of Oxford - Francis Szele 2010618 <i>Clinical Neuroscience Research</i>	\$100,000					\$100,000
UNIVERSITY OF PENNSYLVANIA (Philadelphia PA) Request Name University of Pennsylvania - Eric Lancaster 2010093 <i>Neuroimmunology</i>	\$100,000				\$100,000	
Request Name University of Pennsylvania - Peter LeRoux 2010679 (Transfer to LIMR) <i>Clinical Neuroscience Research</i>	\$250,000		(\$250,000)			
Request Name University of Pennsylvania - Roy Hamilton (PHASE II). 2010838 <i>Imaging</i>		\$100,000			\$100,000	
UNIVERSITY OF SOUTH FLORIDA SCHOOL OF MEDICINE (Tampa FL)						

Statement 20.

Summary of Appropriations and Payments as of December 31, 2014

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Statement to

The Charles A. Dana Foundation Incorporated
Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid at End of Year*
WNET/Thirteen (New York NY)						
WNET/Thirteen - Charlie Rose 15-12015		\$100,000				\$100,000
Neuroscience-Related						
YALE UNIVERSITY SCHOOL OF MEDICINE (New Haven CT)						
Request Name Yale University - Arrie Kaffman: 2010015	\$100,000					\$100,000
Imaging						
Request Name Yale University - Kavita Dhodapkar 2010076	\$100,000				\$100,000	
Neuroimmunology						
Program and Ad Hoc Grants	\$6,558,908	\$3,844,400	(\$357,549)	(\$228,514)	\$4,322,273	\$5,952,000

* These contributions met the
equivalency determination rule.

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The Charles A Dana Foundation Incorporated
Summary of Appropriations and Payments as of December 31, 2014

	Unpaid at Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid At End of Year
Totals Page 103	Code \$6,558,908	\$3,844,400	(\$357,549)	(\$228,514)	\$4,322,273	\$5,952,000

Dana Alliance for Brain Initiatives, NY, NY
(see Statement on Expenditure Responsibilities)
Public education on neuroscience research POF

\$2,982,227

Other Grants (schedule 20a)

\$1,992,000

Employee Match (schedule 20b)

\$33,870

Totals	\$6,558,908	\$8,852,497	(\$357,549)	(\$228,514)	\$9,330,370	\$5,952,000
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Adjustment		(\$357,549)	\$357,549	\$228,514	(\$228,514)	
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Per Page 1 Column a						
Rounding		\$8,494,948				\$1
Per Page 1 Column d						\$9,101,857

Note:
All contributions are coded PC unless otherwise noted

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The Charles A. Draper Foundation, Incorporated
Other Grants

Statement 20a

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Grant Amount	Status	Amount	Notes
Request Name: 564 Park Avenue Preservation Foundation - Anne Millard: 14-11792			
\$5,000.00		\$5,000.00	New York, NY
\$5,000.00	Paid	\$5,000.00	
Request Name: American Museum of Natural History - Priya Roy Chowdhury: 14-11887			
\$5,000.00		\$5,000.00	New York, NY
\$5,000.00	Paid	\$5,000.00	
Request Name: American Repertory Theater - Ellen Kulik: 14-11696			
\$50,000.00		\$50,000.00	New York, NY
\$50,000.00	Paid	\$50,000.00	
Request Name: American School of Classical Studies at Athens - Minna Lee: 14-11888			
\$15,000.00		\$15,000.00	Princeton, NJ
\$15,000.00	Paid	\$15,000.00	
Request Name: Anderson Ranch Arts Center - Barbara Bloemink: 14-11800			
\$45,000.00		\$45,000.00	Snowmass Village, CO
\$45,000.00	Paid	\$45,000.00	
Request Name: Anderson Ranch Arts Center - Nancy Wilhelms: 14-11893			
\$15,000.00		\$15,000.00	Snowmass Village, CO
\$15,000.00	Paid	\$15,000.00	
Request Name: Audubon Florida - Eric Draper: 14-11799			
\$5,000.00		\$5,000.00	Miami, FL

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Statement 20a

\$5,000.00	Paid	\$5,000.00	
Request Name: Bahamas National Trust Fund Inc. - Neil McKinney: 14-11788			Coconut Creek, FL
\$25,000.00		\$25,000.00	
\$25,000.00	Paid	\$25,000.00	
Request Name: Basilica of the National Shrine of the Immaculate Conception - Walter Rossi: 14-11941			Washington DC
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Bay Street Theater - Tracy Mitchell: 14-11773			Sag Harbor, NY
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Bladder Cancer Advocacy Network - Monica Smith: 14-11942			Bethesda, MD
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: Boys' Club of New York - Claude Barilleaux: 14-11797			New York, NY
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Boys and Girls Clubs of America - Jean Crystal: 14-11796			Atlanta, GA
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Breast Cancer Research Foundation, Inc. - Mary Biblowit: 14-11895			New York, NY
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Breast Cancer Research Foundation, Inc. - Myra Biblowit: 14-11763			New York, NY
\$100,000.00		\$100,000.00	
\$100,000.00	Paid	\$100,000.00	
Request Name: Breast Cancer Research Foundation, Inc. - Myra Biblowit: 14-11775			New York, NY
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Bridgehampton Chamber Music Associates, Inc. (formerly Bridgehampton Chamber Music Festival) - Derek Delaney: 14-11744			Bridgehampton, NY
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: Bridgehampton Chamber Music Associates, Inc (formerly Bridgehampton Chamber Music Festival) - Michael Lawrence: 14-11774			Bridgehampton, NY
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Brigham and Women's Hospital, Inc. - Kristin Garrity: 14-11934			Boston MA
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: Brown Ledge Foundation, Inc. - Liz Bell: 14-11923			Colechester, VT
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Cambridge in America - Olivia McIntosh: 14-11698			New York, NY
\$25,000.00		\$25,000.00	

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Statement 20a

\$25,000.00	Paid	\$25,000.00	
Request Name: Central Park Conservancy - Douglas Blonsky: 14-11746			New York, NY
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Clubhouse International - Jeanne Pidot: 14-11889			New York, NY
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: Cold Spring Harbor Laboratory - Bruce Stillman: 14-11896			Cold Spring Harbor, NY
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: College of Charleston School of Business - Colby Rankin: 14-11752			Charleston, SC
\$25,000.00		\$25,000.00	
\$25,000.00	Paid	\$25,000.00	
Request Name: Columbia Business School - Barbara Clapp: 14-11877			New York, NY
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Conservancy of Southwest Florida - Robert Moher: 14-11767			Naples, FL
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Convent of the Sacred Heart - Craig MacPherson: 14-11890			New York, NY
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: Cornell University Medical College - Claire Henchcliffe: 14-11787			New York, NY
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Cristo Rey Network - John Foley: 14-11802			Chicago, IL
\$25,000.00		\$25,000.00	
\$25,000.00	Paid	\$25,000.00	
Request Name: Cristo Rey Network - John Foley: 14-11894			Chicago, IL
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: D.C. Preparatory Academy - Elizabeth Jeppson: 14-11654			Washington, DC
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: Dana-Farber/Harvard Cancer Center - David Livingston: 14-11798			Boston, MA
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: Dana-Farber Cancer Institute - Karen Martins: 14-11939			Boston, MA
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: Dana-Farber Cancer Institute - Leslie Sullivan: 14-11897			Boston, MA
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Dana-Farber Cancer Institute - Susan Paresky: 14-11753			Boston, MA

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Statement no a

\$25,000.00			\$25,000.00	
\$25,000.00		Paid	\$25,000.00	
Request Name:Dancesport Academy, Inc. - George Stamas: 14-11794				Ardmore, PA
\$15,000.00			\$15,000.00	
\$15,000.00		Paid	\$15,000.00	
Request Name:Dartmouth College - Terry Russell: 14-11878				Hanover, NH
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name:Dunedin Fine Art Center - George Ann Bissett: 14-11766				Dunedin FL
\$25,000.00			\$25,000.00	
\$25,000.00		Paid	\$25,000.00	
Request Name:East Hampton Healthcare Foundation - Sheila Rogers: 14-11931				East Hampton NY
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name:ELEM/Youth in Distress in Israel - Ann Bialkin: 14-11898				New York, NY
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name:Exploring the Arts, Inc. - Cheri Walsh: 14-11856				New York NY
\$100,000.00			\$100,000.00	
\$100,000.00		Paid	\$100,000.00	
Request Name:Fordham University - Robin Semple: 14-11874				New York, NY
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name:Foundation Fighting Blindness - Gordon Gund: 14-11803				Columbia, MD
\$25,000.00			\$25,000.00	
\$25,000.00		Paid	\$25,000.00	
Request Name:Foundation Milanollo - Pascal Nicod: 14-11938 *				Lausanne, Switzerland
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	paid Banque Cantonale Vaudoise
Request Name:Friends Academy - Carl Pozzi: 14-11929				Locust Valley, NY
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name:George Jackson Academy - David Arnold: 14-11777				New York, NY
\$10,000.00			\$10,000.00	
\$10,000.00		Paid	\$10,000.00	
Request Name:Greenwich Academy - Angela VanMoorsel: 14-11789				Greenwich, CT
\$10,000.00			\$10,000.00	
\$10,000.00		Paid	\$10,000.00	
Request Name:Greenwich Academy - Angela VanMoorsel: 14-11879				Greenwich, CT
\$25,000.00			\$25,000.00	
\$25,000.00		Paid	\$25,000.00	
Request Name:Guild Hall of East Hampton - Ruth Appelhof: 14-11748				East Hampton, NY
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	

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Request Name:Harlem Academy - Vincent Datoli: 14-11745				New York, NY
\$15,000.00			\$15,000.00	
\$15,000.00		Paid	\$15,000.00	
Request Name:Harlem Academy - Vincent Datoli: 14-11769				New York, NY
\$20,000.00			\$20,000.00	
\$20,000.00		Paid	\$20,000.00	
Request Name:Harvard Art Museum - Brad Voigt: 14-11697				Cambridge, MA
\$50,000.00			\$50,000.00	
\$50,000.00		Paid	\$50,000.00	
Request Name:Harvard Law School Fund - Denise Gorayeb: 14-11862				Cambridge, MA
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name:Harvard-Mahoney Neuroscience Institute - Irene McLaughlin: 14-11935				Cambridge, MA
\$10,000.00			\$10,000.00	
\$10,000.00		Paid	\$10,000.00	
Request Name:Historic Charleston Foundation - Lela Agnew: 14-11754				Charleston, SC
\$10,000.00			\$10,000.00	
\$10,000.00		Paid	\$10,000.00	
Request Name:Hospice Foundation of Palm Beach County, Inc. - Lynnette Lin: 14-11937				West Palm Beach, FL
\$10,000.00			\$10,000.00	
\$10,000.00		Paid	\$10,000.00	
Request Name:Howard University Medical Alumni Association - Pamela Jones: 14-11855				Washington, DC
\$35,000.00			\$35,000.00	
\$35,000.00		Paid	\$35,000.00	
Request Name:Howard University - Nesta Bernard: 14-11655				Washington, DC
\$80,000.00			\$80,000.00	
\$80,000.00		Paid	\$80,000.00	
Request Name:International Sephardic Education Foundation - Nina Weiner: 14-11778				New York, NY
\$4,000.00			\$4,000.00	
\$4,000.00		Paid	\$4,000.00	
Request Name:Investigative Project on Terrorism Foundation - Steven Emerson: 14-11779				Washington, DC
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name:Jefferson Market Garden - George Paulos: 14-11780				New York, NY
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name:Jewish Home Lifecare - Frederic Bloch: 14-11870				New York, NY
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name:Johns Hopkins University - Martina Grunwald: 14-11808				Baltimore, MD
\$10,000.00			\$10,000.00	
\$10,000.00		Paid	\$10,000.00	
Request Name:Johns Hopkins University - Martina Grunwald: 14-11943				Baltimore, MD
\$10,000.00			\$10,000.00	

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\$10,000.00		Paid	\$10,000.00	
Request Name:Lawyers' Committee for Civil Rights Under Law - Barbara Arnwine: 14-11871				
\$5,000.00			\$5,000.00	Washington, DC
\$5,000.00		Paid	\$5,000.00	
Request Name:Lincoln Center Theater - Rachel Norton: 14-11781				
\$6,000.00			\$6,000.00	New York, NY
\$6,000.00		Paid	\$6,000.00	
Request Name:Lyford Cay Foundation School - Rebecca Massey: 14-11755				
\$50,000.00			\$50,000.00	New York, NY
\$50,000.00		Paid	\$50,000.00	
Request Name:Martha Graham Dance Company - LaRue Allen: 14-11749				
\$5,000.00			\$5,000.00	New York, NY
\$5,000.00		Paid	\$5,000.00	
Request Name:Massachusetts General Hospital - Carol Taylor: 14-11810				
\$10,000.00			\$10,000.00	Boston, MA
\$10,000.00		Paid	\$10,000.00	
Request Name:Massachusetts General Hospital - Carol Taylor: 14-11944				
\$10,000.00			\$10,000.00	Boston, MA
\$10,000.00		Paid	\$10,000.00	
Request Name:Metropolitan Museum of Art - Ken Soehner: 14-11786				
\$5,000.00			\$5,000.00	New York, NY
\$5,000.00		Paid	\$5,000.00	
Request Name:Middle East Investment Initiative (MEII) - Berl Bernhard: 14-11804				
\$25,000.00			\$25,000.00	Washington, DC
\$25,000.00		Paid	\$25,000.00	
Request Name:Montefiore Medical Center - Lauren Holmes: 14-11872				
\$5,000.00			\$5,000.00	Bronx, NY
\$5,000.00		Paid	\$5,000.00	
Request Name:Museum of Modern Art - Todd Bishop: 14-11863				
\$5,000.00			\$5,000.00	New York, NY
\$5,000.00		Paid	\$5,000.00	
Request Name:National Gallery of Art - Christine Myers: 14-11651				
\$20,000.00			\$20,000.00	Washington, DC
\$20,000.00		Paid	\$20,000.00	
Request Name:National Museum of African American History and Culture - Anna Barber: 14-11650				
\$35,000.00			\$35,000.00	Washington, DC
\$35,000.00		Paid	\$35,000.00	
Request Name:Newport Film, Inc. - Terri Conners: 14-11885				
\$25,000.00			\$25,000.00	Newport, RI
\$25,000.00		Paid	\$25,000.00	
Request Name:New York Stem Cell Foundation - Susan Solomon: 14-11783				
\$5,000.00			\$5,000.00	New York, NY
\$5,000.00		Paid	\$5,000.00	
Request Name:Norwalk Grassroots Tennis Inc. - Roy Anderson: 14-11930				
				Norwalk, CT

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\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name: Paley Center for Media - Pat Mitchell: 14-11750				New York, NY
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name: Palm Beach Civic Association - Ned Barnes: 14-11809				Palm Beach, FL
\$6,000.00			\$6,000.00	
\$6,000.00		Paid	\$6,000.00	
Request Name: Palm Beach Infectious Disease Institute - Lianne Proulx: 14-11940				Palm Beach, FL
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name: Pardee Rand Graduate School - Michael Rich: 14-11805				San Monica, CA
\$20,000.00			\$20,000.00	
\$20,000.00		Paid	\$20,000.00	
Request Name: Penland School of Crafts - Jean McLaughlin: 14-11765				Penland, NC
\$10,000.00			\$10,000.00	
\$10,000.00		Paid	\$10,000.00	
Request Name: Priory in the United States of American of the Most Venerable Order of the Hospital of St. John - Ruth Skaff: 14-11747				Washington, DC
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name: Raymond K. Kravis Center for the Performing Arts - Carolyn Wathey-Lee: 14-11811				West Palm Beach, FL
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name: Ronald Reagan Presidential Foundation - Frederick Ryan: 14-11806				Simi Valley, CA
\$10,000.00			\$10,000.00	
\$10,000.00		Paid	\$10,000.00	
Request Name: Rosemont College - Sharon Hirsh: 14-11875				Rosemont, PA
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name: Roxbury Latin School - Kerry Brennan: 14-11694				West Roxbury, MA
\$25,000.00			\$25,000.00	
\$25,000.00		Paid	\$25,000.00	
Request Name: Sail Newport - Brad Read: 14-11756				Newport, RI
\$25,000.00			\$25,000.00	
\$25,000.00		Paid	\$25,000.00	
Request Name: Sail to Prevail - Paul Callahan: 14-11757				Newport, RI
\$15,000.00			\$15,000.00	
\$15,000.00		Paid	\$15,000.00	
Request Name: Saint Andrews Preservation Foundation - Alan McFarland: 14-11891				Southampton, NY
\$20,000.00			\$20,000.00	
\$20,000.00		Paid	\$20,000.00	
Request Name: Saint Luke Institute - Rev. Msgr. Stephen Rossetti: 14-11905				Silver Spring, MD
\$5,000.00			\$5,000.00	

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\$5,000.00	Paid	\$5,000.00	
Request Name: Skidmore College - Michael Casey: 14-11876			Saratoga Springs, NY
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: Southampton Hospital - Steven Bernstein: 14-11902			Southampton, NY
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: St. John's Church - Luis Leon: 14-11653			Washington, DC
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: St. Paul's School - William Kissick: 14-11768			Concord, NH
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: St. Thomas Choir School - Charles Wallace: 14-11743			New York, NY
\$25,000.00		\$25,000.00	
\$25,000.00	Paid	\$25,000.00	
Request Name: Syracuse University, Newhouse School of Communications - Lynn Vanderhoek: 14-11784			Syracuse, NY
\$25,000.00		\$25,000.00	
\$25,000.00	Paid	\$25,000.00	
Request Name: Syracuse University, Newhouse School of Communications - Lynn Vanderhoek: 14-11903			Syracuse, NY
\$20,000.00		\$20,000.00	
\$20,000.00	Paid	\$20,000.00	
Request Name: The Aspen Institute - Walter Isaacson: 14-11801			Aspen, CO
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: The Brearley School - Lewis Lucaire: 14-11873			New York, NY
\$15,000.00		\$15,000.00	
\$15,000.00	Paid	\$15,000.00	
Request Name: The Corning Museum of Glass - Amy Schwartz: 14-11882			Corning, NY
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: The Council on Foreign Relations - Suzanne Helm: 14-11776			New York, NY
\$20,000.00		\$20,000.00	
\$20,000.00	Paid	\$20,000.00	
Request Name: The Green Vale School - Stephen Watters: 14-11790			Old Brookville, NY
\$6,000.00		\$6,000.00	
\$6,000.00	Paid	\$6,000.00	
Request Name: The Hotchkiss School - Vickie Armontrout: 14-11880			Lakeville, CT
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: The Lymphoma Foundation - Mortimer Lacher: 14-11782			New York, NY
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: The Marc Lustgarten Pancreatic Cancer Foundation - Kerri Kaplan: 14-11899			Bethpage, NY

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\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	
Request Name: The National Center on Addiction and Substance Abuse at Columbia University - Joseph Califano: 14-11793				
\$5,000.00			\$5,000.00	New York, NY
\$5,000.00		Paid	\$5,000.00	
Request Name: The New York Historical Society - Mirrer Louise: 14-11900				
\$5,000.00			\$5,000.00	New York, NY
\$5,000.00		Paid	\$5,000.00	
Request Name: The New York Historical Society - Pam Shafier: 14-11795				
\$5,000.00			\$5,000.00	New York, NY
\$5,000.00		Paid	\$5,000.00	
Request Name: The Preservation Foundation of Palm Beach - Sharon Kearns: 14-11933				
\$10,000.00			\$10,000.00	Palm Beach, FL
\$10,000.00		Paid	\$10,000.00	
Request Name: The Reading Team, Inc. - Maureen Rover: 14-11649				
\$75,000.00			\$75,000.00	New York, NY
\$75,000.00		Paid	\$75,000.00	paid along with \$50,000 grant for 2014
Request Name: The Reading Team, Inc. - Maureen Rover: 14-11742				
\$50,000.00			\$50,000.00	New York, NY
\$50,000.00		Paid	\$50,000.00	
Request Name: The Reading Team, Inc. - Maureen Rover: 14-11924				
\$75,000.00			\$75,000.00	New York, NY
\$75,000.00		Paid	\$75,000.00	
Request Name: The Society of the Four Arts - Thomas Hassen: 14-11901				
\$10,000.00			\$10,000.00	Palm Beach, NY
\$10,000.00		Paid	\$10,000.00	
Request Name: The Winsor School - Rachel Stettler-Friis: 14-11695				
\$50,000.00			\$50,000.00	Boston, MA
\$50,000.00		Paid	\$50,000.00	
Request Name: United Jewish Association/Federation of Jewish Philanthropies - Steven Singer: 14-11785				
\$25,000.00			\$25,000.00	New York, NY
\$25,000.00		Paid	\$25,000.00	
Request Name: University of Virginia - Mark Smith: 14-11881				
\$10,000.00			\$10,000.00	Charlottesville, VA
\$10,000.00		Paid	\$10,000.00	
Request Name: University of Virginia School of Law - Luis Alvarez: 14-11770				
\$25,000.00			\$25,000.00	Charlottesville, VA
\$25,000.00		Paid	\$25,000.00	
Request Name: Urban Glass, New York Contemporary Glass Center - Cybele Maylone: 14-11883				
\$10,000.00			\$10,000.00	Brooklyn, NY
\$10,000.00		Paid	\$10,000.00	
Request Name: Washington National Cathedral - Samuel Lloyd: 14-11652				
\$10,000.00			\$10,000.00	Washington, DC

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\$10,000.00	Paid	\$10,000.00	
Request Name: Wheaton Arts and Cultural Center - Susan Gogan: 14-11884			Millville, NJ
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Request Name: World Jewish Congress American Section - Randi Dubno: 14-11904			New York, NY
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Wyly Community Art Center - Carlyle Kyzer: 14-11807			Basalt, CO
\$5,000.00		\$5,000.00	
\$5,000.00	Paid	\$5,000.00	
Request Name: Year Up - Susan Murray: 14-11892			Boston, MA
\$10,000.00		\$10,000.00	
\$10,000.00	Paid	\$10,000.00	
Grand Total			
\$1,992,000.00		\$1,992,000.00	

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06-6036761 The Charles A. Dana Foundation, Incorporated
Employee Grants
Statement 20a

Employee Appropriated		Employee Paid		
Grant Amount		Status	Amount	Notes
Request Name: Ann Whitman - Employee Matching Gift for JFY NetWorks - 3/27/2014				
\$100.00			\$100.00	Boston, MA
\$100.00		Paid	\$100.00	
Request Name: Ann Whitman - Employee Matching Gift for Parkinson's Unity Walk - 4/30/2014				
\$1,000.00			\$1,000.00	Kingston, NJ
\$1,000.00		Paid	\$1,000.00	
Request Name: Ann Whitman - Employee Matching Gift for The Brearley School - 10/29/2014				
\$200.00			\$200.00	New York, NY
\$200.00		Paid	\$200.00	
Request Name: Ann Whitman - Employee Matching Gift for Trustees of Hamilton College - 1/16/2014				
\$100.00			\$100.00	Clinton, NY
\$100.00		Paid	\$100.00	
Request Name: Ann Whitman - Employee Matching Gift for Trustees of Hamilton College - 11/5/2014				
\$150.00			\$150.00	Clinton, NY
\$150.00		Paid	\$150.00	
Request Name: Barbara Gill - Employee Matching Gift for Hudson Valley Shakespeare Festival - 1/16/2014				
\$2,000.00			\$2,000.00	Cold Spring, NY
\$2,000.00		Paid	\$2,000.00	
Request Name: Barbara Gill - Employee Matching Gift for Maine Community Foundation - 1/16/2014				
\$1,000.00			\$1,000.00	Ellsworth, ME

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\$1,000.00		Paid	\$1,000.00	-
Request Name: Barbara Gill - Employee Matching Gift for Peninsula Ambulance Corps - 1/16/2014				
\$600.00			\$600.00	
\$600.00		Paid	\$600.00	- Blue Hills, ME
Request Name: Barbara Rich - Employee Matching Gift for Paul Taylor Dance Foundation, Inc. - 12/10/2014				
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	- New York, NY
Request Name: Brigida Gay - Employee Matching Gift for ABS-CBN Foundation International - 3/27/2014				
\$200.00			\$200.00	
\$200.00		Paid	\$200.00	- Redwood City, CA
Request Name: Brigida Gay - Employee Matching Gift for Mount Saint Michael Academy - 4/30/2014				
\$500.00			\$500.00	
\$500.00		Paid	\$500.00	- Bronx, NY
Request Name: Brigida Gay - Employee Matching Gift for Nathan R. Cobb Sr. Foundation - 7/17/2014				
\$200.00			\$200.00	
\$200.00		Paid	\$200.00	- Farmville, NC
Request Name: Brigida Gay - Employee Matching Gift for Philippine Basketball Ministry NY - 7/24/2014				
\$1,100.00			\$1,100.00	
\$1,100.00		Paid	\$1,100.00	- Coram, NY
Request Name: Brigida Gay - Employee Matching Gift for Philippine Basketball Ministry NY - 8/19/2014				
\$450.00			\$450.00	
\$450.00		Paid	\$450.00	- Coram, NY
Request Name: Brigida Gay - Employee Matching Gift for St. Claire of Assisi Church - 1/16/2014				
\$100.00			\$100.00	
\$100.00		Paid	\$100.00	- Bronx, NY
Request Name: Brigida Gay - Employee Matching Gift for St. Claire of Assisi Church - 6/24/2014				
\$100.00			\$100.00	
\$100.00		Paid	\$100.00	- Bronx, NY
Request Name: Burton Mirsky - Employee Matching Gift for Princeton Child Development Institute - 5/29/2014				
\$2,000.00			\$2,000.00	
\$2,000.00		Paid	\$2,000.00	- Princeton, NY
Request Name: Carolyn Asbury - Employee Matching Gift for Trustees of the University of Pennsylvania - 11/5/2014				
\$5,000.00			\$5,000.00	
\$5,000.00		Paid	\$5,000.00	- Philadelphia, PA
Request Name: Christian Medina - Employee Matching Gift for Gay Men's Health Crisis, Inc. - 4/29/2014				
\$100.00			\$100.00	
\$100.00		Paid	\$100.00	- New York, NY
Check was given to Christian Medina on 05/01/2014 - KA				
Request Name: Isaac Sashitzky - Employee Matching Gift for Mesivta High School - 1/16/2014				
\$2,000.00			\$2,000.00	
\$2,000.00		Paid	\$2,000.00	- Lawrence, NY
Request Name: Nicky Penttila - Employee Matching Gift for First Book - 1/16/2014				
\$1,000.00			\$1,000.00	
				- Washington, DC

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\$1,000.00		Paid	\$1,000.00	
Request Name: Nicky Penttila - Employee Matching Gift for Fistula Foundation - 1/16/2014				
\$1,000.00			\$1,000.00	San Jose CA
\$1,000.00		Paid	\$1,000.00	
Request Name: Pat Mangini - Employee Matching Gift for American Cancer Society - 5/27/2014				
\$500.00			\$500.00	Atlanta, GA
\$500.00		Paid	\$500.00	
Request Name: Rosemary Shields - Employee Matching Gift for League of Women Voters of the City of New York Education Fund - 11/6/2014				
\$190.00			\$190.00	New York, NY
\$190.00		Paid	\$190.00	
Request Name: Rosemary Shields - Employee Matching Gift for League of Women Voters of the City of New York Education Fund - 4/30/2014				
\$200.00			\$200.00	New York, NY
\$200.00		Paid	\$200.00	
Request Name: Rosemary Shields - Employee Matching Gift for New York Public Radio - 6/24/2014				
\$120.00			\$120.00	New York, NY
\$120.00		Paid	\$120.00	
Request Name: Rosemary Shields - Employee Matching Gift for Still Mind Zendo - 12/9/2014				
\$160.00			\$160.00	New York, NY
\$160.00		Paid	\$160.00	
Request Name: Rosemary Shields - Employee Matching Gift for Still Mind Zendo - 3/27/2014				
\$1,400.00			\$1,400.00	New York, NY
\$1,400.00		Paid	\$1,400.00	
Request Name: Rosemary Shields - Employee Matching Gift for Still Mind Zendo - 5/27/2014				
\$500.00			\$500.00	New York, NY
\$500.00		Paid	\$500.00	
Request Name: Rosemary Shields - Employee Matching Gift for Still Mind Zendo - 9/23/2014				
\$1,700.00			\$1,700.00	New York, NY
\$1,700.00		Paid	\$1,700.00	
Request Name: Rosemary Shields - Employee Matching Gift for Won Dharma Center - 9/23/2014				
\$100.00			\$100.00	NY
\$100.00		Paid	\$100.00	Claverack, NY
Request Name: Simon Fischweicher - Employee Matching Gift for United States Fund for UNICEF - 3/27/2014				
\$100.00			\$100.00	New York NY
\$100.00		Paid	\$100.00	
Request Name: Steven Protass - Employee Matching Gift for National Multiple Sclerosis Society- NYC & Southern NY Chapter - 5/27/2014				
\$5,000.00			\$5,000.00	New York, NY
\$5,000.00		Paid	\$5,000.00	
Grand Total				
\$33,870.00			\$33,870.00	

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