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Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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Information about Form 990-PF and its instructions is at www.irs.gov/form990pf.

OMB No 1545-0052

2014

Open to Public Inspection

For calendar year 2014, or tax year beginning 01-01-2014, and ending 12-31-2014

Name of foundation THE HARKNESS FOUNDATION FOR DANCE INC		A Employer identification number 13-1926551	
% JOAN FINKELSTEIN		B Telephone number (see instructions) (212) 485-5500	
Number and street (or P O box number if mail is not delivered to street address) 145 EAST 48TH STREET SUITE 26C		Room/suite	
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10017		C If exemption application is pending, check here	
G Check all that apply		D 1. Foreign organizations, check here	
☐ Initial return		☐ Initial return of a former public charity	
☐ Final return		☐ Amended return	
☐ Address change		☐ Name change	
H Check type of organization		E If private foundation status was terminated under section 507(b)(1)(A), check here	
☒ Section 501(c)(3) exempt private foundation		☐	
☐ Section 4947(a)(1) nonexempt charitable trust		☐ Other taxable private foundation	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16)		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here	
➤\$ 12,303,089		☐	
J Accounting method			
☐ Cash		☒ Accrual	
☐ Other (specify)			
(Part I, column (d) must be on cash basis.)			

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	0			
	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.	324,036	324,036		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	1,001,884			
	b Gross sales price for all assets on line 6a 5,973,126				
	7 Capital gain net income (from Part IV, line 2) . . .		1,001,884		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	1,325,920	1,325,920		
	13 Compensation of officers, directors, trustees, etc	127,425	31,856		95,569
	14 Other employee salaries and wages	66,000	26,400		39,600
	15 Pension plans, employee benefits	60,826	20,275		40,551
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	37,865	18,933	0	18,932
	c Other professional fees (attach schedule)	93,957	93,957		
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	25,729	3,394		
	19 Depreciation (attach schedule) and depletion	5,800	2,900		
	20 Occupancy	15,221	7,611		7,610
	21 Travel, conferences, and meetings	301			301
	22 Printing and publications				
	23 Other expenses (attach schedule)	7,679	3,840		3,839
	24 Total operating and administrative expenses.				
	Add lines 13 through 23	440,803	209,166	0	206,402
	25 Contributions, gifts, grants paid	793,468			793,468
	26 Total expenses and disbursements. Add lines 24 and 25	1,234,271	209,166	0	999,870
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	91,649			
	b Net investment income (if negative, enter -0-)		1,116,754		
	c Adjusted net income (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	45,732	19,907	19,907
	2	Savings and temporary cash investments	328,090	467,791	467,791
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges	15,838	4,500	4,500
	10a	Investments—U S and state government obligations (attach schedule)	359,938	0	0
	b	Investments—corporate stock (attach schedule)	11,598,563	11,581,774	11,581,774
	c	Investments—corporate bonds (attach schedule).			
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ _____ 406,975 Less accumulated depreciation (attach schedule) ▶ _____ 193,296	219,479	213,679	213,679
15	Other assets (describe ▶ _____)	20,498	15,438	15,438	
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	12,588,138	12,303,089	12,303,089	
Liabilities	17	Accounts payable and accrued expenses	7,560	900	
	18	Grants payable			
	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 ▶ _____)	0	24,885	
	23	Total liabilities (add lines 17 through 22)	7,560	25,785	
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	12,580,578	12,277,304	
	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)	12,580,578	12,277,304	
31	Total liabilities and net assets/fund balances (see instructions)	12,588,138	12,303,089		

Part III Analysis of Changes in Net Assets or Fund Balances		
1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year’s return)	1 12,580,578
2	Enter amount from Part I, line 27a	2 91,649
3	Other increases not included in line 2 (itemize) ▶ _____	3
4	Add lines 1, 2, and 3	4 12,672,227
5	Decreases not included in line 2 (itemize) ▶ _____	5 394,923
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6 12,277,304

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)
1 a	UBS SHORT TERM - SEE ATTACHED	P	2014-01-01	2014-12-31
b	UBS LONG TERM - SEE ATTACHED	P	2013-01-01	2014-12-31
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 1,246,478		1,234,189	12,289
b 4,726,648		3,737,053	989,595
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			12,289
b			989,595
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	1,001,884
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	

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 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	1,015,151	12,101,180	0 083889
2012	1,055,895	11,751,505	0 089852
2011	1,020,898	12,179,633	0 08382
2010	1,024,109	12,602,108	0 081265
2009	1,005,414	12,233,210	0 082187

2	Total of line 1, column (d).	2	0 421013
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 084203
4	Enter the net value of noncharitable-use assets for 2014 from Part X, line 5.	4	12,247,997
5	Multiply line 4 by line 3.	5	1,031,318
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	11,168
7	Add lines 5 and 6.	7	1,042,486
8	Enter qualifying distributions from Part XII, line 4.	8	999,870

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

Part VIExcise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the 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)

2

Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)

3

Add lines 1 and 2.

4

Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)

5

Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-

6

Credits/Payments

7

Total credits and payments. Add lines 6a through 6d.

8

Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached.

9

Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed.

10

Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid.

11

Enter the amount of line 10 to be Credited to 2015 estimated tax 1,096 Refunded

1

22,335

2

3

22,335

4

5

22,335

6a

2014 estimated tax payments and 2013 overpayment credited to 2014

13,431

6b

Exempt foreign organizations—tax withheld at source

6c

Tax paid with application for extension of time to file (Form 8868)

10,000

6d

Backup withholding erroneously withheld

7

23,431

8

9

10

1,096

11

Part VII-AStatements Regarding Activities

1a

During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?

1a

No

1b

Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)?

1b

No

1c

Did the foundation file Form 1120-POL for this year?

1c

2

Has the foundation engaged in any activities that have not previously been reported to the IRS?

2

No

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?

3

No

4a

Did the foundation have unrelated business gross income of \$1,000 or more during the year?

4a

No

4b

If "Yes," has it filed a tax return on Form 990-T for this year?

4b

5

Was there a liquidation, termination, dissolution, or substantial contraction during the year?

5

No

6

Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either

6

Yes

7

Did the foundation have at least \$5,000 in assets at any time during the year?

7

Yes

8a

Enter the states to which the foundation reports or with which it is registered (see instructions)

8a

8b

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?

8b

Yes

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)?

9

No

10

Did any persons become substantial contributors during the tax year?

10

No

Form 990-PF (2014)

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
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		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address				
14	The books are in care of <u>JOAN FINKELSTEIN</u> Telephone no <u>(212) 755-5540</u> Located at <u>145 EAST 48TH STREET SUITE 26C NEW YORK NY</u> ZIP +4 <u>10017</u>			
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?	16	Yes	No
See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? ☐ Organizations relying on a current notice regarding disaster assistance check here. ☐	1b		No
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		No
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 <u>20</u> , <u>20</u> , <u>20</u> , <u>20</u>			
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		No
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here <u>20</u> , <u>20</u> , <u>20</u> , <u>20</u>			
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? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2014.</i>)	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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		No

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)?

5b

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

☒

c

If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

☐ Yes ☐ No

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

6a

Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b

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

6b

No

If "Yes" to 6b, file Form 8870.

7a

At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b

If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?

7b

Part VIII

Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1

List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
THEODORE S BARTWINK C/O HARKNESS BALLET FOUNDATION NEW YORK, NY 10017	Director, Exec Dir, TREASURER 38 0	20,700	5,175	0
WILLIAM A PERLMUTH C/O HARKNESS BALLET FOUNDATION NEW YORK, NY 10017	Director, PRESIDENT 1 0	0	0	0
ETTA BRANDMAN C/O HARKNESS BALLET FOUNDATION NEW YORK, NY 10017	Director, VP, Secretary 1 0	0	0	0
JOAN FINKELSTEIN C/O HARKNESS BALLET FOUNDATION NEW YORK, NY 10017	EXECUTIVE DIRECTOR 38 0	106,725	0	0

2

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

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

Total

number of other employees paid over \$50,000.

Part VIII

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

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

Part IX-A

Expenses

1 NOT APPLICABLE

Part IX-B

Amount

1 NOT APPLICABLE

Total. Add lines 1 through 3

Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	11,770,138
b	Average of monthly cash balances.	1b	430,760
c	Fair market value of all other assets (see instructions).	1c	233,617
d	Total (add lines 1a, b, and c).	1d	12,434,515
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	0
3	Subtract line 2 from line 1d.	3	12,434,515
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	186,518
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	12,247,997
6	Minimum investment return. Enter 5% of line 5.	6	612,400

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	612,400
2a	Tax on investment income for 2014 from Part VI, line 5.	2a	22,335
b	Income tax for 2014 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	22,335
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	590,065
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	590,065
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	590,065

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	999,870
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	0
b	Cash distribution test (attach the required schedule).	3b	0
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	999,870
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	999,870

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				590,065
2 Undistributed income, if any, as of the end of 2014				
a Enter amount for 2013 only.			0	
b Total for prior years 2012 , 2011 , 2010		0		
3 Excess distributions carryover, if any, to 2014				
a From 2009.	400,004			
b From 2010.	405,140			
c From 2011.	423,226			
d From 2012.	481,880			
e From 2013.	429,632			
f Total of lines 3a through e.	2,139,882			
4 Qualifying distributions for 2014 from Part XII, line 4 ▶ \$ 999,870				
a Applied to 2013, but not more than line 2a			0	
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.				590,065
e Remaining amount distributed out of corpus	409,805			
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	2,549,687			
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		0		
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) . . .	400,004			
9 Excess distributions carryover to 2015. Subtract lines 7 and 8 from line 6a	2,149,683			
10 Analysis of line 9				
a Excess from 2010. . . .	405,140			
b Excess from 2011. . . .	423,226			
c Excess from 2012. . . .	481,880			
d Excess from 2013. . . .	429,632			
e Excess from 2014. . . .	409,805			

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

1a

If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2014, enter the date of the ruling.

b

Check box to indicate whether the organization is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

☐ 4942(j)(3) or ☐ 4942(j)(5)

2a	Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Tax year	Prior 3 years			(e) Total
		(a) 2014	(b) 2013	(c) 2012	(d) 2011	
b	85% of line 2a					
c	Qualifying distributions from Part XII, line 4 for each year listed					
d	Amounts included in line 2c not used directly for active conduct of exempt activities					
e	Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3	Complete 3a, b, or c for the alternative test relied upon					
a	"Assets" alternative test—enter (1) Value of all assets (2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b	"Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed.					
c	"Support" alternative test—enter (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties). (2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii). (3) Largest amount of support from an exempt organization (4) Gross investment income					

Part XVSupplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see instructions.)

1

Information Regarding Foundation Managers:

a

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

NONE

b

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

NONE

2

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

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

a

The name, address, and telephone number or e-mail address of the person to whom applications should be addressed

Joan Finkelstein
145 EAST 48TH STREET 26C
NEW YORK, NY 10017
(212) 755-5540

b

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

IN WRITING STATING AMOUNT REQUESTED & INTENDED USE

c

Any submission deadlines

NONE

d

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

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

Form 990-PF (2014)

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

Form **990-PF** (2014)

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2014)

Part XVII

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

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?

Yes

No

a

Transfers from the reporting foundation to a noncharitable exempt organization of

(1)

Cash.

1a(1)

No

(2)

Other assets.

1a(2)

No

b

Other transactions

(1)

Sales of assets to a noncharitable exempt organization.

1b(1)

No

(2)

Purchases of assets from a noncharitable exempt organization.

1b(2)

No

(3)

Rental of facilities, equipment, or other assets.

1b(3)

No

(4)

Reimbursement arrangements.

1b(4)

No

(5)

Loans or loan guarantees.

1b(5)

No

(6)

Performance of services or membership or fundraising solicitations.

1b(6)

No

c

Sharing of facilities, equipment, mailing lists, other assets, or paid employees.

1c

No

d

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

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

2a

Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527?

Yes

No

b

If "Yes," complete the following schedule.

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

Sign Here

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

2015-11-15

Signature of officer or trustee

Date

Title

May the IRS discuss this return with the preparer shown below (see instr.)?

Yes

No

Paid Preparer Use Only

Print/Type preparer's name

DAVID FIRST

Preparer's Signature

Date

Check if self-employed

PTIN

P00140776

Firm's name

MARCUM LLP

Firm's address

750 THIRD AVENUE NEW YORK, NY 10017

Firm's EIN

Phone no.

(212) 485-5500

Form 990-PF (2014)

TY 2014 Accounting Fees Schedule**Name:** THE HARKNESS FOUNDATION FOR DANCE INC**EIN:** 13-1926551

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	37,865	18,933		18,932

TY 2014 Compensation Explanation**Name:** THE HARKNESS FOUNDATION FOR DANCE INC**EIN:** 13-1926551

Person Name	Explanation
THEODORE S BARTWINK	Served 1/1/14 - 2/28/14
JOAN FINKELSTEIN	Served 3/1/14 - 12/31/14

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2014 Depreciation Schedule

Name: THE HARKNESS FOUNDATION FOR DANCE INC

EIN: 13-1926551

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
CONDOMINIUM	1987-03-17	216,873	143,680	SL	40	5,422			
OFFICE IMPROVEMENT	1987-06-01	3,150	2,089	SL	40	79			
OFFICE EQUIPMENT	1999-07-01	3,414	3,414	SL	4				
OFFICE EQUIPMENT	1999-07-01	2,694	2,694	SL	4				
OFFICE EQUIPMENT	2003-07-01	460	460	SL	4				
LAND	1987-03-17	144,583		L					
FURNITURE & EQUIP		31,783	31,783	SL					
CARPETING	2004-07-01	2,998	2,998	SL	5				
LAP TOP COMPUTER	2005-07-01	1,144	1,144	SL	4				
FURNITURE & EQUIP	2007-07-01	995	995	SL	4				
PRINTER-COPIER-FA	2008-07-01	400	400	SL	4				
OFFICE FURNITURE	2011-08-15	1,171	534	SL	4	299			

TY 2014 Investments Corporate Stock Schedule

Name: THE HARKNESS FOUNDATION FOR DANCE INC

EIN: 13-1926551

Name of Stock	End of Year Book Value	End of Year Fair Market Value
UBS	11,581,774	11,581,774

**TY 2014 Investments Government
Obligations Schedule****Name:** THE HARKNESS FOUNDATION FOR DANCE INC**EIN:** 13-1926551**US Government Securities - End of****Year Book Value:**

0

US Government Securities - End of**Year Fair Market Value:**

0

**State & Local Government
Securities - End of Year Book
Value:****State & Local Government
Securities - End of Year Fair
Market Value:**

TY 2014 Land, Etc. Schedule**Name:** THE HARKNESS FOUNDATION FOR DANCE INC**EIN:** 13-1926551

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
CONDOMINIUM	216,873	149,102	67,771	
OFFICE IMPROVEMENT	3,150	2,168	982	
OFFICE EQUIPMENT	3,414	3,414		
OFFICE EQUIPMENT	2,694	2,694		
OFFICE EQUIPMENT	460	460		
LAND	144,583		144,583	
FURNITURE & EQUIP	31,783	31,783		
CARPETING	2,998	2,998		
LAP TOP COMPUTER	1,144	1,144		
FURNITURE & EQUIP	995	995		
PRINTER-COPIER-FA	400	400		
OFFICE FURNITURE	1,171	833	338	

TY 2014 Other Assets Schedule

Name: THE HARKNESS FOUNDATION FOR DANCE INC

EIN: 13-1926551

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
FILMS	1,000	1,000	1,000
INTEREST RECEIVABLE	19,498	14,438	14,438

TY 2014 Other Decreases Schedule

Name: THE HARKNESS FOUNDATION FOR DANCE INC

EIN: 13-1926551

Description	Amount
UNREALIZED LOSS - MARKETABLE SECURITIES	394,923

TY 2014 Other Expenses Schedule

Name: THE HARKNESS FOUNDATION FOR DANCE INC

EIN: 13-1926551

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INSURANCE	7,679	3,840		3,839

TY 2014 Other Income Schedule

Name: THE HARKNESS FOUNDATION FOR DANCE INC

EIN: 13-1926551

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
ROYALTY INCOME			

TY 2014 Other Liabilities Schedule

Name: THE HARKNESS FOUNDATION FOR DANCE INC

EIN: 13-1926551

Description	Beginning of Year - Book Value	End of Year - Book Value
FEDERAL EXCISE TAX PAYABLE	0	24,885

TY 2014 Other Professional Fees Schedule

Name: THE HARKNESS FOUNDATION FOR DANCE INC

EIN: 13-1926551

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT ADVISORY FEES	93,957	93,957		

TY 2014 Taxes Schedule**Name:** THE HARKNESS FOUNDATION FOR DANCE INC**EIN:** 13-1926551

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES PAID	3,394	3,394		
EXCISE TAX	22,335			