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Form 990-PF (2014)

THE NORTON FOUNDATION, INC.

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

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

b Check box to indicate whether the foundation is a private operating foundation described in section

4942(j)(3) of 4942(j)(5)

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

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

(1) Value of all assets

(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 XV	Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year-see instructions.)
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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:

SEE STATEMENT 14

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

- c Any submission deadlines

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

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THE NORTON FOUNDATION, INC.

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
CABBAGE PATCH SETTLEMENT HOUSE, INC. 1413 S. SIXTH ST. LOUISVILLE, KY 40208		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	10,000.
CATHOLIC CHARITIES OF LOUISVILLE 2220 W MARKET STREET LOUISVILLE, KY 40212		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	15,000.
FAMILY SCHOLAR HOUSE 403 REG SMITH CIRCLE LOUISVILLE, KY 40208		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	35,000.
FOOD LITERACY PROJECT AT OXMOOR FARM 9001 LIMEHOUSE LN LOUISVILLE, KY 40222		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	15,000.
KENTUCKY CENTER FOR THE ARTS 501 W. MAIN STREET LOUISVILLE, KY 40202		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	25,000.
Total	SEE CONTINUATION SHEET(S)			635,000.
b Approved for future payment				
NONE				
Total				0.

Part XVI-A

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

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11-24-14

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Yes	No
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- | | Yes | No |
|-------|-----|----|
| 1a(1) | | X |
| 1a(2) | | X |
| 1b(1) | | X |
| 1b(2) | | X |
| 1b(3) | | X |
| 1b(4) | | X |
| 1b(5) | | X |
| 1b(6) | | X |
| 1c | | X |

Form 990-PF (2014)

THE NORTON FOUNDATION, INC.

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Part XV Supplementary Information**3** Grants and Contributions Paid During the Year (Continuation)

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
KENTUCKY MUSEUM OF ART AND CRAFT 715 W MAIN STREET LOUISVILLE, KY 40202		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	20,000.
LEGAL AID SOCIETY 416 W. MUHAMMAD ALI BLVD, STE. 300 LOUISVILLE, KY 40202		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	10,000.
LOUISVILLE GROWS 967 SCHILLER AVENUE LOUISVILLE, KY 40204		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	10,000.
LOUISVILLE CENTRAL COMMUNITY CENTER 1300 W. MUHAMMAD ALI BLVD LOUISVILLE, KY 40203		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	16,000.
MARYHURST 5227 BARDSTOWN RD. LOUISVILLE, KY 40291		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	30,000.
NEIGHBORHOOD HOUSE 201 N. 25TH ST. LOUISVILLE, KY 40212		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	10,000.
NEW ROOTS 4509 W MARKET STREET LOUISVILLE, KY 40212		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	30,000.
RIVER CITY DRUM CORP 3308 CHAUNCEY AVE LOUISVILLE, KY 40211		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	10,000.
SHAKESPEARE BEHIND BARS PO BOX 33293 LOUISVILLE, KY 40232		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	5,000.
STAGE ONE FAMILY THEATRE 315 W MARKET STREET LOUISVILLE, KY 40202		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	12,000.
Total from continuation sheets				535,000.

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THE NORTON FOUNDATION, INC.

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Part XV Supplementary Information**3** Grants and Contributions Paid During the Year (Continuation)

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
WALDORF SCHOOL OF LOUISVILLE 8005 NEW LAGRANGE RD LOUISVILLE, KY 40222		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	101,000.
WEST END SCHOOL 23628 VIRGINIA AVE LOUISVILLE, KY 40211		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	80,000.
YMCA SAFE PLACE SERVICES 2400 CRITTENDEN DR LOUISVILLE, KY 40217		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	20,000.
LOUISVILLE PUBLIC MEDIA 619 S 4TH STREET LOUISVILLE, KY 40202		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	30,000.
LINCOLN FOUNDATION 300 W BROADWAY #500 LOUISVILLE, KY 40202		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	20,000.
ST. GEORGE'S COMMUNITY CENTER, INC. 1205 S. 26TH STREET LOUISVILLE, KY 40210		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	15,000.
ST. JOSEPH CHILDREN'S HOME 2823 FRANKFORT AVENUE LOUISVILLE, KY 40206		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	25,000.
KENTUCKY SCIENCE CENTER 727 W. MAIN STREET LOUISVILLE, KY 40202		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	25,000.
DARE TO CARE 5803 FERN VALLEY ROAD LOUISVILLE, KY 40228		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	20,000.
KENTUCKY SHAKESPEARE FESTIVAL 323 W. BROADWAY #401 LOUISVILLE, KY 40202		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	11,000.
Total from continuation sheets				

THE NORTON FOUNDATION, INC.

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Part XV Supplementary Information**3** Grants and Contributions Paid During the Year (Continuation)

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
KENTUCKY YOUTH ADVOCATES 11001 BLUEGRASS PKWY #100 LOUISVILLE, KY 40299		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	10,000.
SQUALLIS PUPPETEERS 1228 E. BRECKINRIDGE STREET LOUISVILLE, KY 40204		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	10,000.
LOUISVILLE URBAN LEAGUE 1535 W. BROADWAY LOUISVILLE, KY 40203		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	5,000.
AMERICAN FARMLAND TRUST 2717 BLUE RIDGE COURT BLOOMINGTON, IN 47408		EXEMPT	TO BE USED WITHIN THEIR EXEMPT FUNCTION	10,000.
Total from continuation sheets				

THE NORTON FOUNDATION, INC.

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FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
TRUST INVESTMENTS	532,857.	16,466.	516,391.	516,391.	
TO PART I, LINE 4	532,857.	16,466.	516,391.	516,391.	

FORM 990-PF OTHER INCOME STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
OTHER INCOME	69.	69.	
INCOME FROM TRILINC GLOBAL	269.	269.	
INCOME FROM ARJUNA	-830.	-830.	
TOTAL TO FORM 990 PF, PART I, LINE 11	-492.	-492.	

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PROFESSIONAL FEES	36,266.	18,133.		18,133.
TRUST FEES	103,680.	103,680.		0.
TO FORM 990-PF, PG 1, LN 16C	139,946.	121,813.		18,133.

STATEMENT(S) 1, 2, 3

THE NORTON FOUNDATION, INC.

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FORM 990-PF	TAXES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PAYROLL TAXES	5,998.	0.		5,998.
FOREIGN TAX EXPENSE	8,421.	8,421.		0.
TAXES - OTHER	9,356.	0.		0.
TO FORM 990-PF, PG 1, LN 18	23,775.	8,421.		5,998.

FORM 990-PF	OTHER EXPENSES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
SUPPLIES AND POSTAGE	2,356.	1,178.		1,178.
DUES AND SUBSCRIPTIONS	2,853.	1,427.		1,427.
INSURANCE	5,322.	2,661.		2,661.
MISCELLANEOUS	6,923.	6,923.		0.
TO FORM 990-PF, PG 1, LN 23	17,454.	12,189.		5,266.

FORM 990-PF	DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT	STATEMENT	6
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DESCRIPTION	COST OR OTHER BASIS	ACCUMULATED DEPRECIATION	BOOK VALUE	FAIR MARKET VALUE
OFFICE FURNITURE	71,643.	0.	71,643.	71,643.
LEASEHOLD IMPROVEMENTS	6,164.	0.	6,164.	6,164.
SOFTWARE	6,359.	0.	6,359.	6,359.
TO 990-PF, PART II, LN 14	84,166.	0.	84,166.	84,166.

STATEMENT(S) 4, 5, 6

THE NORTON FOUNDATION, INC.

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FORM 990 PF	CORPORATE STOCK	STATEMENT	7
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCK	7,702,989.	9,458,274.
REAL ESTATE INVESTMENT TRUSTS	1,109,298.	1,174,700.
TOTAL TO FORM 990-PF, PART II, LINE 10B	8,812,287.	10,632,974.

FORM 990-PF	CORPORATE BONDS	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS	88,595.	96,585.
SPECIAL SITUATION BONDS	67,469.	0.
TOTAL TO FORM 990-PF, PART II, LINE 10C	156,064.	96,585.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	9
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
PUBLICALLY TRADED PARTNERSHIPS	COST	625,753.	656,550.
MUTUAL FUNDS	COST	882,393.	867,141.
INVESTMENT IN PARTNERSHIPS	COST	604,216.	607,872.
PRIVATE EQUITY	COST	25,000.	23,425.
TOTAL TO FORM 990-PF, PART II, LINE 13		2,137,362.	2,154,988.

FORM 990-PF	INTEREST AND PENALTIES	STATEMENT	10
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TAX DUE FROM FORM 990-PF, PART VI	20,212.
UNDERPAYMENT PENALTY	515.
LATE PAYMENT INTEREST	308.
LATE PAYMENT PENALTY	606.
TOTAL AMOUNT DUE	21,641.

STATEMENT(S) 7, 8, 9, 10

THE NORTON FOUNDATION, INC.

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FORM 990-PF LATE PAYMENT PENALTY STATEMENT 11

DESCRIPTION	DATE	AMOUNT	BALANCE	MONTHS	PENALTY
TAX DUE	05/15/15	20,212.	20,212.	6	606.
DATE FILED	11/15/15		20,212.		
TOTAL LATE PAYMENT PENALTY					606.

FORM 990-PF LATE PAYMENT INTEREST STATEMENT 12

DESCRIPTION	DATE	AMOUNT	BALANCE	RATE	DAYS	INTEREST
TAX DUE	05/15/15	20,212.	20,212.	.0300	184	308.
DATE FILED	11/15/15		20,520.			
TOTAL LATE PAYMENT INTEREST						308.

FORM 990-PF PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS STATEMENT 13

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
JANE NORTON NEWTON 333 E. MAIN ST., STE 400 LOUISVILLE, KY 40202	PRESIDENT 0.10	0.	0.	0.
ROBERT W. DULANEY 333 E. MAIN ST., STE 400 LOUISVILLE, KY 40202	VP 0.10	0.	0.	0.
RICHARD H.C. CLAY 333 E. MAIN ST., STE 400 LOUISVILLE, KY 40202	DIRECTOR 0.10	0.	0.	0.
LUCY CRAWFORD 333 E. MAIN ST., STE 400 LOUISVILLE, KY 40202	EXECUTIVE DIRECTOR 40.00	27,255.	20,522.	0.
MEREDITH ERICKSON 333 E. MAIN ST., STE 400 LOUISVILLE, KY 40202	EXECUTIVE DIRECTOR 40.00	51,154.	0.	0.

STATEMENT(S) 11, 12, 13

THE NORTON FOUNDATION, INC.

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MAGGIE BARRETT KEITH
333 E. MAIN ST., STE 400
LOUISVILLE, KY 40202

DIRECTOR
0.10

0. 0. 0.

BRANDON COAN
333 E. MAIN ST., STE 400
LOUISVILLE, KY 40202

DIRECTOR
0.10

0. 0. 0.

TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII

78,409. 20,522. 0.

STATEMENT(S) 13

THE NORTON FOUNDATION, INC.

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FORM 990-PF	GRANT APPLICATION SUBMISSION INFORMATION	STATEMENT 14
	PART XV, LINES 2A THROUGH 2D	

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

MEREDITH ERICKSON
333 EAST MAIN STREET, SUITE 400
LOUISVILLE, KY 40202

TELEPHONE NUMBER

502-893-9549

FORM AND CONTENT OF APPLICATIONS

THE APPLICATION MUST INCLUDE AN OUTLINE OF THE PROJECT, A BUDGET OF ALL INCOME & EXPENSES AND A COPY OF THE IRS DETERMINATION LETTER VERIFYING THE ORGANIZATION'S EXEMPT STATUS. THE APPLICATIONS ARE FILED IN TRIPLICATE AND ARE MAINTAINED BY THE FOUNDATION'S EXECUTIVE DIRECTOR.

ANY SUBMISSION DEADLINES

QUARTERLY

RESTRICTIONS AND LIMITATIONS ON AWARDS

NO GRANTS ARE MADE TO INDIVIDUALS OR PRIVATE FOUNDATIONS. LOCAL CHARITABLE NEEDS ARE GIVEN FIRST PRIORITY.

STATEMENT(S) 14

0425874673

Sep. 27, 2017 LTR 2697C 0 R

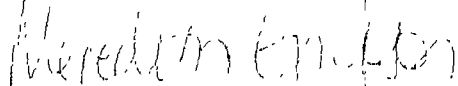
61-6024040 201412 44

Input Op: 0425874673 00021797

THE NORTON FOUNDATION INC
333 EAST MAIN STREET STE 400
LOUISVILLE KY 40202

DECLARATION

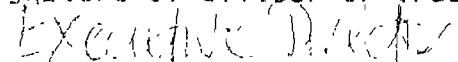
Under penalties of perjury, I declare I've examined the return identified in this letter, including any accompanying schedules and statements, and any supplemental statements attached hereto, which are intended as supplements to the return, and to the best of my knowledge and belief, it's true, correct, and complete. I understand this declaration will become a permanent part of the return.



Signature of officer or trustee

10/23/17

Date



Title