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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

2015

Department of the Treasury
Internal Revenue ServiceDo 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.

Open to Public Inspection

For calendar year 2015 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. <table border="0"> <tr> <td>☐ Initial return</td> <td>☐ Initial return of a former public charity</td> </tr> <tr> <td>☐ Final return</td> <td>☐ Amended return</td> </tr> <tr> <td>☐ Address change</td> <td>☐ Name change</td> </tr> </table>			☐ Initial return	☐ Initial return of a former public charity	☐ Final return	☐ Amended return	☐ Address change	☐ Name change	D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐ E If private foundation status was terminated under section 507(b)(1)(A), check here ☐ F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	
☐ 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										
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 220,375,362		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)				
	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	854,854	854,854		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	5,327,921			
	b Gross sales price for all assets on line 6a 16,739,053				
	7 Capital gain net income (from Part IV, line 2)		5,327,921		
	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) Statement 1	10,919,096	10,372,973		
	12 Total. Add lines 1 through 11	17,101,871	16,555,748	0	
	13 Compensation of officers, directors, trustees, etc	1,423,392	216,090		1,200,863
	14 Other employee salaries and wages	1,166,119	141,099		1,025,020
	15 Pension plans, employee benefits	614,431	103,135		825,959
	16a Legal fees (attach schedule) Statement 2	19,980			10,415
	b Accounting fees (attach schedule) Statement 2	55,256	41,125		15,531
	c Other professional fees (attach schedule) Statement 2	1,074,591	501,696		531,667
	17 Interest				
	18 Taxes (attach schedule) (see instructions) Statement 3	307,139			
	19 Depreciation (attach schedule) and depletion Statement 4	39,874	3,987		
	20 Occupancy	801,659	160,332		641,654
	21 Travel, conferences, and meetings	82,589			85,589
	22 Printing and publications	250,308			250,331
	23 Other expenses (attach schedule) Statement 5	337,391	31,921		297,608
	24 Total operating and administrative expenses. Add lines 13 through 23	6,172,729	1,199,385	0	4,884,637
	25 Contributions, gifts, grants paid	8,126,794			9,027,919
	26 Total expenses and disbursements. Add lines 24 and 25	14,299,523	1,199,385	0	13,912,556
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	2,802,348			
	b Net investment income (if negative, enter -0-)		15,356,363		
	c Adjusted net income (if negative, enter -0-)			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	9,944,291	10,137,475	10,137,475
	2	Savings and temporary cash investments			
	3	Accounts receivable 1,008,994			
		Less: allowance for doubtful accounts	7,392	1,008,994	1,008,994
	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>statement 6</i>	54,620,457	38,669,979	38,669,979
	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>statement 7</i>	176,187,128	170,048,106	170,048,106
	14	Land, buildings, and equipment: basis <i>statement 8</i> 410,438			
		Less: accumulated depreciation (attach schedule) 194,454	255,858	215,984	215,984
	15	Other assets (describe See Attached Statement 9)	232,571	294,824	294,824
	16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	241,247,697	220,375,362	220,375,362
	17	Accounts payable and accrued expenses	265,514	330,047	
Net Assets or Fund Balances	18	Grants payable	5,952,000	5,050,875	
	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 10)	5,103,934	4,287,306	
	23	Total liabilities (add lines 17 through 22)	11,321,448	9,668,228	
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	229,926,249	210,707,134	
	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			
Net Assets or Fund Balances	30	Total net assets or fund balances (see instructions)	229,926,249	210,707,134	
	31	Total liabilities and net assets/fund balances (see instructions)	241,247,697	220,375,362	

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	229,926,249
2	Enter amount from Part I, line 27a	2	2,802,348
3	Other increases not included in line 2 (itemize)	3	
4	Add lines 1, 2, and 3	4	232,728,597
5	Decreases not included in line 2 (itemize) Statement 11	5	22,021,463
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	210,707,134

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 <u>statement 12</u>			
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 16,739,053		11,411,132	5,327,921
b			
c			
d			
e			

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			5,327,921
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	5,327,921
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	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.

(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))
2014	13,521,619	238,840,561	0.056614
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

2 Total of line 1, column (d)	2	0.358587
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	0.071717
4 Enter the net value of noncharitable-use assets for 2015 from Part X, line 5	4	228,202,799
5 Multiply line 4 by line 3	5	16,366,020
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	153,564
7 Add lines 5 and 6	7	16,519,584
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	13,912,556

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	307,127	
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	307,127	
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	307,127	
6	Credits/Payments:			
a	2015 estimated tax payments and 2014 overpayment credited to 2015	6a	304,720	
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	304,720	
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	2,407	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	0	
11	Enter the amount of line 10 to be: Credited to 2016 estimated tax ☐ 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 XIV</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 2015 or the taxable year beginning in 2015 (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) <u>Statement 13</u>	11	X	
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
Website address <u>www.dana.org</u>				
14	The books are in care of <u>Burton M Mirsky</u>	Telephone no	<u>212 223 4040</u>	
	Located at <u>505 Fifth Avenue, 6th Floor 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 <u>15</u>			
16	At any time during calendar year 2015, 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 the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country			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.

1a	During the year did the foundation (either directly or indirectly)		Yes	No
(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 2015?		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 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? If "Yes," list the years <u>20</u> , <u>20</u> , <u>20</u> , <u>20</u>	☐ Yes ☒ No		
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. <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 2015 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 2015.)		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 2015?		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)?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? Statement 14 ☒ Yes ☐ No

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

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

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

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ Yes ☒ No**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 15		1,423,392	270,261	

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 16		438,080	177,862	
	00	0		
	00	0		
	00	0		
	00	0		
	00	0		

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

7

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	138,746
Guy McKhann, M.D. 3400 North Charles St, Baltimore, MD 21228	Health Program Consultant	230,060
Eagle Management Advisors 700 Commodore Court, Unit 2728, Philadelphia, PA 19146	Investment Management	129,614
Wellington Trust Company 280 Congress Street, Boston, MA 02210	Investment Management	52,842
Silchester Intl Investors, Inc 780 Third Avenue, NY, NY 10017	Investment Management	112,861
Total number of others receiving over \$50,000 for professional services		1

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 17- Total Expenses - \$4,884,637	
12-1 Grants	1,865,764
2	
12-2 Outreach- News Office	1,405,429
3	
12-3 Outreach- Website	1,148,105
4	
12-4 Outreach- Publications	465,339

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	44,500,563
b	Average of monthly cash balances	1b	9,586,067
c	Fair market value of all other assets (see instructions)	1c	177,591,339
d	Total (add lines 1a, b, and c)	1d	231,677,969
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	231,677,969
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	3,475,170
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	228,202,799
6	Minimum investment return. Enter 5% of line 5	6	11,410,140

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	11,410,140
2a	Tax on investment income for 2015 from Part VI, line 5	2a	307,127
b	Income tax for 2015. (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	307,127
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	11,103,013
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	11,103,013
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	11,103,013

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	13,912,556
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	13,912,556
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	13,912,556

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 2014	(c) 2014	(d) 2015
1 Distributable amount for 2015 from Part XI, line 7				11,103,013
2 Undistributed income, if any, as of the end of 2015:				
a Enter amount for 2014 only			0	
b Total for prior years: 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2015:				
a From 2010	7,727,384			
b From 2011	4,064,964			
c From 2012	9,741,520			
d From 2013	3,065,586			
e From 2014	1,921,247			
f Total of lines 3a through e	26,520,701			
4 Qualifying distributions for 2015 from Part XII, line 4: ► \$ 13,912,556				
a Applied to 2014, 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 2015 distributable amount				11,103,013
e Remaining amount distributed out of corpus	2,809,543			
5 Excess distributions carryover applied to 2015 (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	29,330,244			
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 2014. Subtract line 4a from line 2a. Taxable amount—see instructions			0	
f Undistributed income for 2015. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2016				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 2010 not applied on line 5 or line 7 (see instructions)	7,727,384			
9 Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a	21,602,860			
10 Analysis of line 9:				
a Excess from 2011	4,064,964			
b Excess from 2012	9,741,520			
c Excess from 2013	3,065,586			
d Excess from 2014	1,921,247			
e Excess from 2015	2,809,543			

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? | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | |
| | (1) Cash | 1a |
| | (2) Other assets | 1a |
| b | Other transactions: | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b |
| | (3) Rental of facilities, equipment, or other assets | 1b |
| | (4) Reimbursement arrangements | 1b |
| | (5) Loans or loan guarantees | 1b |
| | (6) Performance of services or membership or fundraising solicitations | 1b |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | |
| 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. | |

	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

[illegible]

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

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

**Sign
Here**

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

Signature of officer or trustee

Date _____

Executive Vice Pres.

Title

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
2015 Index for List of Attachments
EIN 06-6036761

Form Description:
8868 Approved Extension Letter
926 Return by a US Transferor of Property to a Foreign Corporation

Schedule/
Statement

Number	Description:	Part	Line Number
1	Other Income	I	11
2	Legal Fees	I	16a
2	Accounting Fees	I	16b
2	Other Professional Fees	I	16c
3	Taxes	I	18
4	Depreciation	I	19
5	Other Expenses	I	23
6	Investment Summary-Corporate Stocks	II	10b
6a	Investment Holdings Summary- First Republic Bank Custodian	II	-
7	Investments-Other	II	13
8	Land Buildings and Equipment	II	14
9	Other Assets	II	15
10	Other Liabilities	II	22
11	Analysis of Changes in Net Assets	III	5
12	Summary Schedule of Capital Gains and Losses	IV	1a
12a	First Republic Bank as Custodian for Eagle Managemnt- gains and losses	IV	-
13	Statement Regarding Activities (Ownership/Transfers to Controlled Corporations)	VII-A	11
14	Statement of Expenditure Responsibility	VII-B	5c
14a	Commitment Letter for Grant Requiring Expenditure Responsibility	VII-B	-
15	Compensation of Officers and Directors	VIII	1
15a	Statement Regarding Officers and Directors Receiving Compensation From a Related Entity	VIII	-
16	Compensation of Five Highest Paid Employees	VIII	2
16a	Statement Regarding Highest Paid Employees Receiving Compensation From a Related Entity	VIII	-
17	Statement of Direct Charitable Activities	IX-A	1-4
18	Grant Guidelines	XV	1-2
19	Grants and Contributions Paid Durng the Year or Approved for Future Payment	XV	3a-3b

Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds Adjustment	Paid During Year	Unpaid End of Year
Research!America	Arlington	VA		\$ 20,000			\$ 20,000	\$ -
Royal Society	London	*England		\$ 310,500			\$ 77,625	\$ 232,875
Rubin Museum of Art	New York	NY		\$ 5,000			\$ 5,000	\$ -
Society for Neuroscience (SfN)	Washington	DC		\$ 10,000			\$ 10,000	\$ -
Solomon R. Guggenheim Foundation	New York	NY		\$ 5,000			\$ 5,000	\$ -
The Brooklyn Museum	Brooklyn	NY		\$ 2,500			\$ 2,500	\$ -
The Jewish Museum	New York	NY		\$ 5,000			\$ 5,000	\$ -
The University of Texas at Austin	Austin	TX		\$ 25,000			\$ 25,000	\$ -
Whitney Museum of American Art	New York	NY		\$ 5,000			\$ 5,000	\$ -
WNET/Thirteen	New York	NY	\$ 100,000				\$ 100,000	\$ -
Dana Alliance for Brain Initiatives Grant (code POA)	New York	NY		\$ 2,637,869			\$ 2,637,869	\$ -
Grand Total			\$ 5952,000	\$ 8,449,305	\$ (322,511)	\$ (30,048)	\$ 9,057,967	\$ 5,050,875

\$ 8,126,794

\$ 9027919

All contributions are coded PC unless otherwise noted.

*Equivalency determination made.

The Charles A Dana Foundation, Incorporated
Form 990PF
06-6036761

Statement 1

2015 Partnership/Trust Income
Part 1 Line 11

	Ein #	Column (a) Income Per Books	Column (b) Net Investment Income Net of UBTI			Taxable Income Per K-1
			Per Actual K-1	UBTI		
Knightsbridge Venture Capital	20-1463725	\$0	\$461,743	-\$23		\$461,720
Abbott Capital Fund IV	36-7045759	\$491,692	423,410	-4,933		\$418,477
Abbott Capital Fund V	20-2896577	\$644,147	551,572	17,887		\$569,459
Abbott Capital Fund VI	26-2293853	\$323,193	355,767	-27,471		\$328,296
Sovereign New Millenium Fund	84-1460377	-\$1,444	-25,853	0		-\$25,853
Adamas Opportunities L.P. (3 Yr)	04-3514360	\$222,227	120,299	18,723		\$139,022
Adamas Opportunities L.P. (1 Yr)	04-3514360	\$0	105,913	19,629		\$125,542
Adamas Partners L.P.	04-3514358	\$83,574	67,133	28,248		\$95,381
Davidson Kempner	13-3597020	\$484,443	484,443	0		\$484,443
TIFF Partners III L.P.	58-2426874	\$79,798	18,239	-140		\$18,099
TIFF Partners IV L.P.	54-2007544	\$16,875	12,221	10,858		\$23,079
Oak Hill Capital Partners Bermuda	52-2265365	-\$124	-124			-\$124
Oak Hill Capital Partners	22-3624482	\$0	-720			-\$720
Silchester	36-7045759	\$1,137,303	1,137,303			\$1,137,303
TIFF Secondary Partners (TSP) TIFF I	56-2384583	-\$3,599	-27,392			-27,392
Hintz , Holman & Rubillard - Jubilee Tax Exempt	13-4036300	\$281,834	281,834			281,834
Commonfund Private Equity-VI	16-1720029	\$470,015	475,573	-1,558		474,015
Commonfund Private Equity- VII	20-8306306	\$345,031	344,303	720		345,023
Commonfund International Private Equity VI	20-8306365	\$709,291	718,269	-8,978		709,291
Commonfund Capital Venture Partners VIII	11-3814030	\$501,827	502,159	-332		501,827
Brandywine Global Opportunistic Absolute Return	46-1858165	\$360,975	360,975			360,975
Adage Capital	04-3574590	\$3,093,479	3,093,479			3,093,479
Forester Capital-B	13-4079780	\$383,160	364,516	50,740		415,256
1607 Capital Partners	26-1761983	\$307,278	307,278			307,278
Aberdeen Real Assets (Flag Real Assets)	20-8736989	\$92,728	66,655	65,636		132,291
Newport Asia	06-6036761	\$47,409	47,409			47,409
Commonfund Capital Natl Resources Partners IX	37-1656529	-\$97,559	-55,045	-42,514		-97,559
Harvest MLP Inc Fund LLC	27-2968896	-\$202,014	-57,704	-144,310		-202,014
Wellington CTFT Emerging Mkt Opp	44-1454454	\$210,505	210,505	0		210,505
Partnership Income		\$9,982,044	\$10,344,160	-\$17,818		\$10,326,342
Adj Income to actual 2015 K-1's						
Misc Income		\$4,408	\$4,408			
Sovereign Millenium Addtl. Capital Gain			\$24,405			
P/Y True up K-1 to Books (reported on 2014 Tax Return)		\$932,644				
Total Per Line 11		\$10,919,096	\$10,372,973			
Addtl Cap Gain per Final K-1		\$24,405				
Adj to Book Partnership Income to Income per K-1's		-\$570,528				
Column B-Reconciliation		\$10,372,973				

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

		19,980	0	0	10,415
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	Epstein Becker, et al	10,415			10,415
2	King and Spalding	9,565			0

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

		55,256	41,125	0	15,531
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	51,406	41,125		11,681
2	Preferred Pension	3,850			3,850

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

		1,074,591	501,696	0	531,667
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	Dr Mckhann	230,060			230,060
2	Dr Blakemore	50,000			50,000
3	Dr Magistetti	35,000			35,000
4	Dr Irani	10,000			10,000
5	Dr Jamison	37,500			37,500
6	Honoraria and Reviews- Less Than \$5,000	73,000			73,000
7	Dr Treisman	12,500			12,500
8	Dr Albert	25,000			25,000
9	Cambridge Assoc	138,746	138,746		0
10	Silchester	112,861	112,861		0
11	Wellington	52,842	52,842		0
12	Eagle Management Advisors	129,614	129,614		0
13	BrandyWine Fund	50,764	50,764		0
14	JP Morgan Chase	13,492	13,492		0
15	Dr Boatman	12,500			12,500
16	Andrew Kahn	36,565			36,565
17	Bruce McEwen	7,000			7,000
18	Freelancers/Misc	18,272	490		17,782
19	Pension Plan Consultants	28,875	2,887		0
20	Cash to Accrual Adj-Misc	0			-15,240

Statement 3

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

		307,139	0	0	0
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	US Excise Tax	275,000			
2	US UBT	31,171			
3	NYS Tax	968			

Statement 4

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	154,580	39,874	3,887	0

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

		337,391	31,921	0	297,608
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	Insurance	75,561	7,556		68,005
2	Computers	175,581	17,558		158,023
3	Dues/Subsctiption	7,208	0		7,208
4	Filing Fees	4,366	0		4,366
5	Prof Devel	13,185	659		12,526
6	Office Expense	21,115	2,111		19,004
7	Miscellaneous	21,162	2,116		19,046
8	Telephone-Fax-Copier	19,213	1,921		17,292
9	Accrual to Cash Adjustment	0	0		-7,862

Charles A Dana Foundation
Form 990 PF-Part II
06-6036761
Year 2015

Statement 6

	Line	column a Book Value	column b Book Value	column c Fair Value
Corporate Stock	10b			
Equities- See Attached 6A		\$12,955,003	\$12,566,899	\$12,566,899
Money Market Fund		428,270		0
Sub-total		<u>13,383,273</u>		<u>12,566,899</u>
Mutual Funds :				
Vanguard Emerging Mkts.-Index Fund		5,952,034	0	0
Bridgeway Funds		11,178,402	6,412,144	6,412,144
Osterweis Strategic Income Fund		3,989,853	3,464,095	3,464,095
Vanguard Precious Metal & Mining Fund		3,943,871	2,783,511	2,783,511
Vanguard Energy Fund		5,866,861	4,608,850	4,608,850
Vanguard Short Term Treasury		6,510,419	6,045,245	6,045,245
Vanguard Developed Markets		3,795,744	2,789,235	2,789,235
Sub-total		<u>41,237,184</u>		<u>26,103,080</u>
Total Corporate and Mutual Funds Stock	10b	<u>\$54,620,457</u>	<u>\$38,669,979</u>	<u>\$38,669,979</u>



FIRST REPUBLIC TRUST COMPANY
It's a privilege to serve you®

ACCOUNT STATEMENT

PAGE 6

ACCOUNT NUMBER: XXXXXX1656

DECEMBER 01, 2015 TO DECEMBER 31, 2015

Schedule 6a

INVESTMENT DETAIL - PRINCIPAL (CONTINUED)

QUANTITY	DESCRIPTION	UNIT PRICE MARKET VALUE	COST BASIS
COMMON STOCK			
11,600.000	MORGAN STANLEY CO	31.810 368,996.00	158,557.59
8,800.000	NOBLE ENERGY INC	32.930 289,784.00	139,978.30
20,300.000	ORACLE CORP COM	36.530 741,559.00	592,260.14
4,200.000	PEPSICO INC	99.920 419,664.00	274,547.65
2,050.000	STARWOOD HOTELS & RESORTS INC	69.280 142,024.00	140,132.06
2,100.000	THERMO FISHER SCIENTIFIC INC	141.850 297,885.00	70,713.78
23,600.000	TWENTY FIRST CENTY FOX INC CL B	27.230 642,628.00	735,308.40
4,055.000	UNITEDHEALTH GROUP INC	117.640 477,030.20	88,270.52
3,700.000	VALEANT PHARMACEUTICALS INTL INC CDA	101.188 374,393.75	489,100.77
TOTAL	COMMON STOCK	10,848,451.60	7,071,091.41
ADR - COMMON STOCK			
4,300.000	ALIBABA GROUP HLDG LTD SPONSORED ADS	81.270 349,461.00	334,258.90
7,300.000	AON PLC SHS CL A	92.210 673,133.00	262,583.66
TOTAL	ADR - COMMON STOCK	1,022,594.00	596,842.56
FOREIGN HELD EQUITIES			
15,798.000	LIBERTY GLOBAL PLC	40.770 644,084.46	260,423.60
789.000	LIBERTY GLOBAL PLC LILAC SHS CL C	43.000 33,927.00	13,123.26
TOTAL	FOREIGN HELD EQUITIES	678,011.46	273,546.86
TOTAL	EQUITIES	12,549,057.06	7,941,480.83

Other Equities
Black Light Power

Total Equities

17842

17842

12,566,899

7,959,322

The Charles A. Dana Foundation, Incorporated

06-6036761

Other Investments

Statement 7

Part II- Line 13

2015

	column (a) Net Book Value 1-Jan	column (b) Net Book Value 31-Dec	column (c) Fair Market Value 31-Dec
Adage Capital	\$24,341,174	\$24,456,247	\$24,456,247
Black Bear Offshore Fund - Offshore	17,843	0	0
Hintz , Holman & Rubillard - Jubilee Tax Exempt	6,244,654	5,195,061	5,195,061
Greenlight Capital Offshore	7,764,450	6,184,398	6,184,398
Davidson Kempner	11,797,774	12,014,300	12,014,300
King Street Capital	8,231,325	8,039,426	8,039,426
Adamas Opportunities L.P.	8,487,156	8,354,631	8,354,631
Adamas Partners L.P.	7,452,103	7,436,335	7,436,335
Forester Capital-B	8,580,651	6,672,556	6,672,556
Silchester	10,693,014	10,825,271	10,825,271
1607 Capital Partners	7,314,713	7,225,767	7,225,767
Newport Asia	6,756,918	6,392,730	6,392,730
Prince Street Opportunities	6,822,215	6,102,294	6,102,294
Prince Street Institutional Offshore Ltd	3,075,580	2,747,826	2,747,826
Abbott Capital Fund IV	3,215,180	2,468,949	2,468,949
Abbott Capital Fund V	3,545,623	2,723,913	2,723,913
Abbott Capital Fund VI	3,311,245	3,860,511	3,860,511
Commonfund Private Equity-VI	3,380,526	2,482,480	2,482,480
Commonfund Private Equity- VII	4,178,190	4,279,004	4,279,004
Commonfund International Partners VI	5,660,629	4,455,399	4,455,399
Commonfund Venture Partners VIII	6,717,859	6,321,420	6,321,420
Knightsbridge Venture Capital	4,930,890	4,114,723	4,114,723
Oak Hill Capital Partners-Bermuda	29,480	4,154	4,154
Oak Hill Capital Partners	19,976	19,315	19,315
Sovereign New Millenium Fund	179,652	46	46
TIFF Secondary Partners (TSP) TIFF I	196,163	141,619	141,619
TIFF Partners III L.P.	621,520	321,759	321,759
TIFF Partners IV L.P.	946,097	512,167	512,167
Aberdeen Real Assets (formerly Flag Real Assets)	2,521,197	1,814,643	1,814,643
Commonfund Capital Natural Resources IX	581,489	896,194	896,194
Harvest Fund MLP Income Fund	2,417,409	3,143,849	3,143,849
Brandywine Global Opportunistic Absolute Return	7,013,954	7,575,999	7,575,999
Wellington CTF Fund	0	5,231,199	5,231,199
Gold Bullion (Dana Publ)	9,140,477	8,033,918	8,033,918
Rounding	2	3	3
Total Other Investments	\$176,187,128	\$170,048,106	\$170,048,106

Statement of

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

Asset Description		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	154,580	194,454	255,858	215,984	215,984

Statement

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

		232,571	294,824	294,824
		Book Value	Book Value	FMV End
		End of Year	End of Year	of Year
1	Asset Description			
1	Prepaid Expenses	65,901	68,618	68,618
2	Security Deposits	132,170	130,405	130,405
3	Prepaid Taxes	34,500	95,801	95,801

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

		5,103,934	4,287,306
		Beginning	Ending
Description		Balance	Balance
1	Deferred Taxes	1,004,000	550,000
2	Deferred Rent	366,477	368,485
3	Postretirement Benefit Obligation	3,733,457	3,368,821

Statement 11

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

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

1	Excise Taxes-Deferred	1	-454,000
2	Change in Net Unrealized Appreciation in Investment Assets	2	22,475,463
3	Total	3	22,021,463

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

06-6036761

Statement 12

2015

	Proceeds	Cost	Per F/S Gain (Loss)
Sovereign Millenium	\$109,833	\$0	109,833
Wellington Management	0	2,537	-2,537
Bridgeway	5,000,000	3,096,617	1,903,383
Osterweis	500,015	519,661	-19,646
Eagle Management Account (see attached Schedule 12a)	3,519,484	1,978,365	1,541,119
Vanguard Developed Markets	1,000,000	1,016,627	-16627
Vanguard Emerging Markets	6,109,721	4,296,228	1,813,493
Vanguard Short Term Treasury	500,000	501,097	-1,097
Capital Gains(Losses)	<u>\$16,739,053</u>	<u>\$11,411,132</u>	<u>\$5,327,921</u>

FIRST REPUBLIC TRUST COMPANY

Run on 1/20/2016 8:14:27 AM

Realized Gain/Loss Report

Start Date: 01/01/2015

End Date: 12/31/2015

Account: 1040001656

Administrator: TINA BARTON TMB 212-259-3644

THE CHARLES A. DANA FOUNDATION, INCORPORATED

Description	Sold	Acquired	Proceeds	Cost	Gain/Loss Covered	How Acquired Gift /Inheritance	Date Of Inheritance	FMV Of Gift/ Inheritance
** SHORT TERM CAPITAL GAIN (LOSS)								
3400 SHARES OF KRAFT FOODS GROUP INC	07/06/2015	06/12/2015	303,093.00	288,531.82	14,561.18	Covered	P	
5400 SHARES OF KONINKLIJKE PHILIPS N.V. ADR	09/03/2015	07/22/2015	137,868.10	142,823.52	4,955.42	Covered	P	
4100 SHARES OF GRUPO TELEvisa ADR	11/03/2015	08/04/2015	123,255.62	143,333.54	20,077.92	Covered	P	
4400 SHARES OF ALTERA CORP COM	12/28/2015	05/05/2015	237,600.00	196,708.16	40,891.84	Covered	P	
** TOTAL SHORT TERM CAPITAL GAIN (LOSS)			801,816.72	771,397.04	30,419.68			
** LONG TERM CAPITAL GAIN (LOSS)								
2400 SHARES OF COMCAST CORP NEW CORP CL A SPL	02/05/2015	10/01/2009	135,460.20	35,944.32	99,515.88	Non Covered	F	
2350 SHARES OF COMCAST CORP NEW CORP CL A SPL	03/17/2015	10/01/2009	138,595.27	35,195.48	103,399.79	Non Covered	F	
1200 SHARES OF WAL-MART STORES INC	04/24/2015	09/28/2005	95,528.08	51,831.84	43,696.24	Non Covered	F	
1200 SHARES OF WAL-MART STORES INC	04/24/2015	06/26/2006	95,528.08	57,688.56	37,839.52	Non Covered	F	
.51 SHARES OF GOOGLE INCORPORATED CL C	05/05/2015	01/20/2012	271.15	149.12	122.03	Covered	C	
2900 SHARES OF LOEWS CORP COM	05/20/2015	06/01/2010	119,369.34	93,140.17	26,229.17	Non Covered	F	
500 SHARES OF UNITEDHEALTH GROUP INC	05/29/2015	04/11/2006	60,164.24	25,457.50	34,706.74	Non Covered	F	
700 SHARES OF UNITEDHEALTH GROUP INC	05/29/2015	06/06/2007	84,229.94	37,905.91	46,324.03	Non Covered	F	
200 SHARES OF COCA COLA CO COM	06/11/2015	05/01/2006	8,022.79	4,216.45	3,806.34	Non Covered	F	
6000 SHARES OF COCA COLA CO COM	06/11/2015	05/04/2006	240,683.76	125,865.00	114,818.76	Non Covered	F	

1100 SHARES OF COCA COLA CO COM	06/11/2015 12/12/2012	44,125.36	41,372.65	2,752.71	Covered	P
1800 SHARES OF CONSTELLATION BRANDS	06/11/2015 02/14/2013	218,713.25	78,043.32	140,669.93	Covered	P
3600 SHARES OF COCA COLA CO COM	06/23/2015 05/04/2006	145,213.40	75,519.00	69,694.40	Non Covered	F
100 SHARES OF NESTLE S A SPONSORED ADR	06/24/2015 12/14/2012	7,574.48	6,554.06	1,020.42	Covered	P
2400 SHARES OF NESTLE S A SPONSORED ADR	07/14/2015 04/21/2009	181,847.77	78,003.84	103,843.93	Non Covered	F
400 SHARES OF NESTLE S A SPONSORED ADR	07/14/2015 12/14/2012	30,307.96	26,216.24	4,091.72	Covered	P
200 SHARES OF 3M CO FR	07/20/2015 03/02/2007	31,450.96	14,640.56	16,810.40	Non Covered	F
900 SHARES OF 3M CO FR	07/20/2015 06/26/2008	141,529.32	63,922.77	77,606.55	Non Covered	F
9 SHARES OF LIBERTY GLOBAL PLC LILAC SHS CL C	07/09/2015 05/16/2014	42.69	36.08	6.61	Covered	C
1100 SHARES OF PRAXAIR INC	08/10/2015 08/27/2004	126,535.18	44,825.00	81,710.18	Non Covered	F
700 SHARES OF BERKELEY W R CORP	08/14/2015 01/22/2010	40,708.10	17,315.41	23,392.69	Non Covered	F
425 SHARES OF UNITEDHEALTH GROUP INC	08/26/2015 04/23/2001	48,019.74	9,251.53	38,768.21	Non Covered	F
300 SHARES OF UNITEDHEALTH GROUP INC	08/26/2015 04/11/2006	33,896.28	15,274.50	18,621.78	Non Covered	F
225 SHARES OF CONSTELLATION BRANDS	08/26/2015 02/14/2013	27,343.58	9,755.42	17,588.16	Covered	P
1300 SHARES OF PRAXAIR INC	10/07/2015 08/27/2004	138,995.78	52,975.00	86,020.78	Non Covered	F
600 SHARES OF CONSTELLATION BRANDS	10/08/2015 02/14/2013	80,997.96	26,014.44	54,983.52	Covered	P
5000 SHARES OF ALTERA CORP COM	12/28/2015 12/10/2004	270,000.00	101,731.00	168,269.00	Non Covered	F
260 SHARES OF AMAZON.COM INC	12/24/2015 11/05/2014	172,512.39	78,123.50	94,388.89	Covered	P

** TOTAL LONG TERM CAPITAL GAIN (LOSS) 2,717,667.05 1,206,968.67 1,510,698.38

SUMMARY

Description	Amount
** SUMMARY OF CAPITAL GAINS AND LOSSES **	
TOTAL SHORT TERM CAPITAL GAIN (LOSS)	30,419.68
TOTAL SHORT TERM CAPITAL GAINS DIVIDENDS	0.00
NET SHORT TERM CAPITAL GAIN (LOSS)	30,419.68

TOTAL LONG TERM CAPITAL GAIN (LOSS)	1,510,698.38
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)	1,510,698.38
NET CAPITAL GAIN (LOSS)	1,541,118.06
TOTAL GAIN/LOSS FROM SALES WITH UNKNOWN COST/ACQUISITION DATE	0.00

54.7 1.541.118.06 1.541.118.06

THE CHARLES A. DANA FOUNDATION, INCORPORATED

EIN 06-6036761

2015

Statement 13

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: \$2,637,869

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

Statement 14

Year 2015

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 \$2,637,869 were paid to Dana Alliance during 2015

3. Purpose of grant:

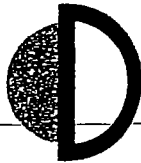
The purpose of the grants was to provide for the general support of
Dana Alliance to enable it to carry out its charitable purposes.

4. As of December 31, 2015 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 2015 Annual Report in June 2016

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.



statement 14a
10f 2

**The
Dana
Alliance
for
Brain
Initiatives**

May 1, 2016

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.
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.
Walter J. Koroshetz, M.D.
Story C. Landis, Ph.D.
Jeffrey A. Lieberman, M.D.
Pierre J. Magistretti, M.D., Ph.D.
Joseph B. Martin, M.D., Ph.D.
Carol A. Mason, Ph.D.
Guy M. McKhann, M.D.
Richard Morris, DPhil., FRSE, FRS
Herbert Pardes, M.D.
Steven M. Paul, M.D.
*Carla J. Shatz, Ph.D.
Wolf Singer, M.D., Ph.D.
Eva Syková, M.D., Ph.D., DSc

* 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

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 2015 to the Dana Alliance for Brain Initiatives, Inc. in the amount of \$2,637,869 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)),

Statement 14 a
2 of 2

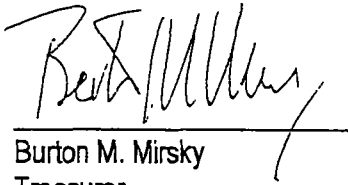
May 1, 2016
Page 2

- (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

~ B ~

Part VIII Line 1

Statement 15

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	\$595,218	\$64,049	\$0
Barbara Rich 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Exec. Vice President Asst. Secretary Hours-30	251,450	55,174	0
Burton M.Mirsky 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Exec. VP and Treasurer Hours- 26	227,142	58,856	0
Barbara E. Gill 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Exec. Vice President/ Asst. Treasurer Hours- 3	295,582	88,842	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	875	0

2015

page 2 of 2

Part VIII Line 1

List of Officers and Directors

Statement 15

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
Hildegard 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>\$1,423,392</u>	<u>\$270,261</u>	<u>\$0</u>

Year 2015

Compensation reported in the 2015 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
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 Director Hours - 9	\$198,406	\$21,350	\$0
Burton M. Mirsky 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Secretary/Treasurer Hours- 9	75,714	19,619	0
Barbara E. Gill 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Vice President Hours- 32	266,241	79,573	0
Barbara Best 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Vice President Hours- 32	149,490	55,882	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		\$695,851	\$176,424	\$0

The Charles A. Dana Foundation, Incorporated**Statement 16**

06-6036761

Year 2015

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	196,100	\$40,847	0
James Rutt 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director, IT 24 Hours	\$150,705	\$62,684	0
Mary Lucas 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Grants Manager 35 Hours	106,100	\$34,910	0
Rosemary Shields 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director of Admin. 27 Hours	99,600	\$33,296	0
Patricia Mangini 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Dir Human Resources 32 Hours	81,675	\$46,972	0

\$438,080\$177,862\$0

The Charles A. Dana Foundation, Incorporated

Year 2015

EIN # 06-6036761

Statement 16A

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 2015 from Alliance is as follows:

Employee	Title/Hours	Compensation	Benefits	Other
Jim Rutt	Director, IT/ 9	\$26,595	\$11,062	\$0
Rosemary Shields	Director of Admin/8	33,200	\$11,099	0
Patricia Mangini	Director Human Resources/8	27,225	\$15,657	0
		<u>\$87,020</u>	<u>\$37,818</u>	<u>\$0</u>

The Charles A. Dana Foundation, Incorporated

06-6036761

2015

Statement 17

Form 990-PF, Part IX-A

Summary of Four Largest Direct Charitable Activities: **Total Expenses: 4,884,637**

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 2015 charitable gifts awarded and paid by the Foundation are listed in Statement 20.

Expenses: \$1,865,764

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 2015, the Foundation: (1) published four briefing papers and four Q&A's, which were sent to select media and posted in the media section of the Dana website; and 6 Cerebrum author Q &A', which were published on the website slider; (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 school 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: \$1,405,429

The Charles A. Dana Foundation, Incorporated
06-6036761
2015

OUTREACH—WEBSITE: The Dana Foundation website 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 Foundation Facebook account, an e-mail newsletter, and all Dana publications. The website includes regularly edited resource sections, including BrainWeb, Brainy Kids Online, Brain Resources for Seniors, and Educator's section, 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, which was updated, offers partners and the general public access to the international calendar, free downloadable materials; educational resources; and current information.

Expenses: \$1,148,105

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: \$465,339

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10F 7

THE DANA FOUNDATION

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

MEMORANDUM

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

FROM: THE DANA FOUNDATION

SUBJECT: 2015 DAVID MAHONEY NEUROIMAGING PROGRAM REQUEST
FOR PROPOSALS (RFP)

DATE: 2/10/2015

Enclosed is the RFP for the Dana Foundation's David Mahoney Neuroimaging Program. Applications are due on April 7 at 3 pm EST.

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 2015.

The Charles A. Dana Foundation Announces the 2015
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, April 7th, 2015 at 3pm EST

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, to enable them to pursue promising, high-risk, and innovative ideas that have a **direct** clinical application. The pilot data are anticipated to help increase competitiveness for seeking larger-scale support from other funders. Grant amounts for each study may be up to \$200,000 total, payable over three years. Applicants will be informed within eight weeks of the preliminary proposal deadline on whether they are invited to prepare full proposals. The first awards will be announced in September 2015. Subsequent award announcements will be made in December 2015.

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 ultimately resulting in funding. Below is a description of the program and application process.

This program, like all other Dana-supported research, is designed to improve human health. Investigations need to 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 or 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.

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 neuroimaging studies undertaken 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 or human tissue*, 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:
 - 1) Ideas for which you do not have preliminary data;
 - 2) 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:

Once selected by the Dean or President, the applicant should submit the preliminary application in its entirety via the Foundation's online proposal website¹, <http://www.dana.org/grantee2015/>. In addition to online submission, two original copies of the proposal must be submitted in paper form via mail, along with seven high resolution glossy images if applicable. These paper copies and glossy images must arrive by April 7 at 3pm EST. **REGISTRATION AND APPLICATION SUBMISSION AT THE SITE IS REQUIRED.** Please note that the registration period will begin March 31 and end on April 7 at 3pm EST. **APPLICATIONS WILL NOT BE ACCEPTED PRIOR TO MARCH 31.** The applicant must complete all requested information at the site and upload the necessary documentation to be able to submit the preliminary proposal. Documents should be attached as PDFs (except Appendix D images) using a minimum of 11-point font, 0.5 inch margins in all directions with numbered pages. Applications using a smaller font size will not be reviewed. Appendix D images have specific requirements, which are specified below:

Please have the following information available prior to applying online. Personal information items numbered 1-3 below should also be formatted into a cover page for the paper application:

Personal Information:

- 1) Principal Investigator information:
 - a. Project title;
 - b. Principal investigator(s) name(s) and degree(s);
 - c. Title(s);
 - d. Phone and fax numbers;
 - e. E-mail; and
 - f. Street address(es).
- 2) Indicate the imaging category (structural/physiological or cellular/molecular, or a combination of both) and, specify the imaging technique(s) to be used (such as fMRI, two-photon, etc.).
- 3) In addition, please be ready to include the names and full contact information of the sponsored research officer and the school Dean or institution President endorsing the application.

Requested Documentation:***Attachment 1, single-page:***

A letter, on the Dean's or President's letterhead, supporting the proposal.

Attachment 2, two-pages:

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).*

¹ Please note that users may save their online application, and return to it at any time during the March 30 – April 7 submission period.

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 Attachments:

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:* High resolution photographs that support the methodology proposed. See requirements below:

Appendix D Image Requirements for Online Submission

Please note that adequate figure and image resolution is essential to the review process. Please submit only TIFF, or JPEG files. Color images should be in RGB (millions of colors), 8 bits per channel. Please upload images individually, in the order they are cited in the proposal. Image file names should reflect the image label found in the proposal. Please refer to the following table and checklist before uploading your images:

Table 1: Summary of Image Requirements

Image Type	Description	Minimum Resolution	Format
Line art	A black and white image composed of lines and/or text. No shaded areas.	900-1200 dpi	TIFF JPEG
Halftone (photographs)	Photographic images with no text or thin lines.	300-600 dpi, or higher if possible	TIFF JPEG
Combination	Halftone images (photographs) containing thin lines and/or text.	600-900 dpi	TIFF JPEG

Before submitting images, please ask yourself the following:

- Is my image in the appropriate format (TIFF, or JPEG)?
- Does my image meet the minimum resolution requirements?
- Is my color image in RGB, 8 bits per channel?
- Am I submitting a full sized image?
- Is my image cropped to reduce unnecessary white space?
- Does the image file name reflect how the image is labeled in my proposal?

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

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Proposal Review and Notification of Grant Awards:

Preliminary proposals received by the April 7th, 2015 at 3pm EST deadline will be reviewed for further consideration. Late submissions will not be considered. Applicants will be informed within approximately eight weeks from preliminary proposal receipt on whether or not they are being invited to prepare full proposals.

Grants will be awarded on a "rolling" basis, with the first group of approved studies to be announced in September 2015 and the second group to be announced in December 2015.

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

For questions and assistance about the online application process please contact:

Program Associate Kevin Aguirre by telephone at 1-212-401-1653, or via email at kaguirre@dana.org

Or

Grants Intern Kenzie Novak by telephone at 1-212-401-1691, or via email at knovak@dana.org

The two original application copies, each stapled, along with seven high resolution glossy images (if applicable) should be sent to:

Grants Department
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

The Charles A. Dana Foundation Incorporated
Summary of Appropriations and Payments as of December 31, 2015

Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds Adjustment	Paid During Year	Unpaid End of Year
Arts Education Program	Phoenix	AZ	\$ 10,000		\$ (10,000)		\$ -	\$ -
Arizona Community Foundation			\$ 5,000		\$ (5,000)		\$ -	\$ -
State of Wisconsin Department of Public Instruction	Madison	WI	\$ 5,000		\$ (5,000)		\$ -	\$ -
Clinical Neuroscience Research			\$ 2,187,000	\$ 1,150,000	\$ (6,583)	\$ (6,583)	\$ 1,184,000	\$ 1,953,000
Brigham and Women's Hospital, Inc.	Boston	MA		\$ 300,000				\$ 300,000
Burke Medical Research Institute	White Plains	NY	\$ 125,000					\$ 125,000
Columbia University	New York	NY	\$ 141,000				\$ 141,000	\$ -
Duke University Medical Center	Durham	NC	\$ 150,000					\$ 150,000
Harvard Medical School - McLean Hospital	Belmont	MA	\$ 150,000				\$ 150,000	\$ -
Johns Hopkins University	Baltimore	MD			\$ (6,278)	\$ (6,278)		\$ -
Johns Hopkins University School of Medicine	Baltimore	MD	\$ 80,000					\$ 80,000
Lankenau Institute for Medical Research	Wynnewood	PA	\$ 125,000					\$ 125,000
Massachusetts General Hospital	Boston	MA	\$ 125,000				\$ 125,000	\$ -
Northwestern University	Evanston	IL	\$ 166,000				\$ 166,000	\$ -
Stanford University School of Medicine	Stanford	CA	\$ 150,000				\$ 150,000	\$ -
University College London	London	*England	\$ 125,000					\$ 125,000
University of California, Davis	Davis	CA		\$ 300,000			\$ 202,000	\$ 98,000
University of California, Irvine	Irvine	CA		\$ 300,000			\$ 150,000	\$ 150,000
University of California, Los Angeles	Los Angeles	CA	\$ 300,000				\$ 150,000	\$ 150,000
University of California, San Diego	San Diego	CA	\$ 150,000					\$ 150,000
University of California, San Francisco School of Medicine	San Francisco	CA	\$ 300,000				\$ 150,000	\$ 150,000
University of Oxford	Oxford	*England	\$ 100,000					\$ 100,000
University of Pennsylvania	Philadelphia	PA			\$ (305)	\$ (305)		\$ -
University of Pennsylvania School of Medicine	Philadelphia	PA		\$ 250,000				\$ 250,000
General			\$ 2,160,500				\$ 2,145,500	\$ 15,000
Actors Company Theatre	New York	NY		\$ 5,000			\$ 5,000	\$ -
Alibi Preservation Foundation	Washington	DC		\$ 5,000			\$ 5,000	\$ -
American College of Surgeons Foundation	Chicago	IL		\$ 5,000			\$ 5,000	\$ -

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Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds Adjustment	Paid During Year	Unpaid End of Year
American Museum of Natural History	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
American Repertory Theater	Cambridge	MA		\$ 50,000.00			\$ 50,000.00	\$ -
American-Russian Cultural Cooperation Foundation	Washington	DC		\$ 2,500.00			\$ 2,500.00	\$ -
American School of Classical Studies at Athens	Athina	*Greece		\$ 5,000.00			\$ 5,000.00	\$ -
Anderson Ranch Arts Center	Snowmass Village	CO		\$ 50,000.00			\$ 50,000.00	\$ -
Audubon Florida	Miami	FL		\$ 5,000.00			\$ 5,000.00	\$ -
Basilica of the National Shrine of the Immaculate Conception	Washington	DC		\$ 5,000.00			\$ 5,000.00	\$ -
Bay Street Theater	Sag Harbor	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Bladder Cancer Advocacy Network	Bethesda	MD		\$ 10,000.00			\$ 10,000.00	\$ -
Blair House Restoration Fund	Washington	DC		\$ 5,000.00			\$ 5,000.00	\$ -
Boys' Club of New York	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Boys & Girls Club of Palm Beach County	West Palm Beach	FL		\$ 5,000.00			\$ 5,000.00	\$ -
Breast Cancer Research Foundation, Inc.	New York	NY		\$ 110,000.00			\$ 110,000.00	\$ -
Bridgehampton Chamber Music Associates, Inc.	New York	NY		\$ 10,000.00			\$ 10,000.00	\$ -
Brigham and Women's Hospital, Inc.	Boston	MA		\$ 10,000.00			\$ 10,000.00	\$ -
Cambridge in America	New York	NY		\$ 25,000.00			\$ 25,000.00	\$ -
C-Change	Washington	DC		\$ 5,000.00			\$ 5,000.00	\$ -
Central Park Conservancy	New York	NY		\$ 15,000.00			\$ 15,000.00	\$ -
Children's Defense Fund	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Cold Spring Harbor Laboratory	Cold Spring Harbor	NY		\$ 5,000.00			\$ 5,000.00	\$ -
College of Charleston School of Business	Charleston	SC		\$ 170,000.00			\$ 170,000.00	\$ -
Columbia Business School	New York	NY		\$ 10,000.00			\$ 10,000.00	\$ -
Columbia University College of Physicians & Surgeons	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Common Ground Foundation	Chicago	IL		\$ 5,000.00			\$ 5,000.00	\$ -
Convent of the Sacred Heart	New York	NY		\$ 10,000.00			\$ 10,000.00	\$ -
Cooper Union	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -

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Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds Adjustment	Paid During Year	Unpaid End of Year
Cristo Rey Network	Chicago	IL		\$ 50,000.00			\$ 50,000.00	\$ -
Crohn's and Colitis Foundation of America, Inc.	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
D.C. Preparatory Academy	Washington	DC		\$ 5,000.00			\$ 5,000.00	\$ -
Dana-Farber Cancer Institute	Boston	MA		\$ 65,000.00			\$ 65,000.00	\$ -
Dancesport Academy, Inc.	Ardmore	PA		\$ 10,000.00			\$ 10,000.00	\$ -
Dartmouth College	Hanover	NH		\$ 5,000.00			\$ 5,000.00	\$ -
Dunedin Fine Art Center	Dunedin	FL		\$ 5,000.00			\$ 5,000.00	\$ -
East Hampton Healthcare Foundation	East Hampton	NY		\$ 5,000.00			\$ 5,000.00	\$ -
ELEM/Youth in Distress in Israel	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Exploring the Arts, Inc.	New York	NY		\$ 100,000.00			\$ 100,000.00	\$ -
Fordham University	Bronx	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Foundation Fighting Blindness	New York	NY		\$ 25,000.00			\$ 25,000.00	\$ -
Foundation Milanollo	Lausanne	*Switzerland		\$ 5,000.00			\$ 5,000.00	\$ 5,000.00
Fox Chase Cancer Center	Philadelphia	PA		\$ 10,000.00			\$ 10,000.00	\$ -
Friends Academy	Glen Cove	NY					\$ -	\$ -
Fund for the Aged, Inc.	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Greenwich Academy	Greenwich	CT		\$ 30,000.00			\$ 30,000.00	\$ -
Guild Hall of East Hampton	East Hampton	NY		\$ 10,000.00			\$ 10,000.00	\$ -
Hampden-Sydney College	Hampden Sydney	VA		\$ 5,000.00			\$ 5,000.00	\$ -
Harlem Academy	New York	NY		\$ 35,000.00			\$ 35,000.00	\$ -
Harvard Art Museum	Cambridge	MA		\$ 50,000.00			\$ 50,000.00	\$ -
Harvard Law School Fund	Cambridge	MA		\$ 5,000.00			\$ 5,000.00	\$ -
Harvard-Mahoney Neuroscience Institute	Cambridge	MA		\$ 10,000.00			\$ 10,000.00	\$ -
Harvard Scholars at Risk	Cambridge	MA		\$ 20,000.00			\$ 20,000.00	\$ -
Hospice Foundation of Palm Beach County, Inc.	West Palm Beach	FL		\$ 10,000.00			\$ 10,000.00	\$ -
Hospital for Special Surgery	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Howard University	Washington	DC		\$ 60,000.00			\$ 60,000.00	\$ -
Howard University Cancer Center	Washington	DC		\$ 2,500.00			\$ 2,500.00	\$ -
International Sephardic Education Foundation	New York	NY		\$ 4,000.00			\$ 4,000.00	\$ -

Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds Adjustment	Paid During Year	Unpaid End of Year
International Women's Health Coalition	New York	NY		\$ 15,000.00			\$ 15,000.00	\$ -
Investigative Project of Terrorism Foundation	Washington	DC		\$ 5,000.00			\$ 5,000.00	\$ -
Jefferson Market Garden	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Joan & Sanford I. Weill Medical College of Cornell University	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Johns Hopkins University	Baltimore	MD		\$ 35,000.00			\$ 35,000.00	\$ -
Julliard School	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Justice in Aging	Washington	DC		\$ 5,000.00			\$ 5,000.00	\$ -
LaSalle D. Leffall, Jr., M.D. Surgical Society Foundation	Waverly	TN		\$ 25,000.00			\$ 25,000.00	\$ -
Light of Healing Hope Foundation	Washington	DC		\$ 1,000.00			\$ 1,000.00	\$ -
Lincoln Center Theater	New York	NY		\$ 6,000.00			\$ 6,000.00	\$ -
Loomis Chaffee School	Windsor	CT		\$ 5,000.00			\$ 5,000.00	\$ -
Lung Cancer Research Foundation	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Martha Graham Dance Company	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Massachusetts General Hospital	Boston	MA		\$ 10,000.00			\$ 10,000.00	\$ -
Mayo Clinic	Rochester	MN		\$ 50,000.00			\$ 50,000.00	\$ -
Metropolitan Club Preservation Foundation	Washington	DC		\$ 5,000.00			\$ 5,000.00	\$ -
Middle East Investment Initiative (MEII)	Washington	DC		\$ 25,000.00			\$ 25,000.00	\$ -
Museum of Modern Art	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
National Gallery of Art	Washington	DC		\$ 20,000.00			\$ 20,000.00	\$ -
New York City Center	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
New York Presbyterian/Weill Cornell Medical Center	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
New York Stem Cell Foundation	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Ophthalmology Research Foundation	Miami	FL		\$ 5,000.00			\$ 5,000.00	\$ -
Paley Center for Media	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Palm Beach Civic Association	Palm Beach	FL		\$ 6,000.00			\$ 6,000.00	\$ -
Palm Beach Infectious Disease Institute	Palm Beach	FL		\$ 5,000.00			\$ 5,000.00	\$ -
Pardee Rand Graduate School	Santa Monica	CA		\$ 20,000.00			\$ 20,000.00	\$ -
Penland School of Crafts	Bakersville	NC		\$ 10,000.00			\$ 10,000.00	\$ -

Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds Adjustment	Paid During Year	Unpaid End of Year
Phillis Wheatley Metropolitan Alumni and Ex Students Association	Houston	TX		\$ 2,500.00			\$ 2,500.00	\$ -
Raymond K. Kravis Center for the Performing Arts	West Palm Beach	FL		\$ 5,000.00			\$ 5,000.00	\$ -
Rockefeller University	New York	NY		\$ 10,000.00			\$ 10,000.00	\$ -
Ronald Reagan Presidential Foundation	Simi Valley	CA		\$ 10,000.00			\$ 10,000.00	\$ -
Rosemont College	Rosemont	PA		\$ 5,000.00			\$ 5,000.00	\$ -
Roxbury Latin School	West Roxbury	MA		\$ 25,000.00			\$ 25,000.00	\$ -
Sacred Heart School	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Saint Andrews Preservation Foundation	New York	NY		\$ 20,000.00			\$ 20,000.00	\$ -
Saint Luke Institute	Silver Spring	MD		\$ 5,000.00			\$ 5,000.00	\$ -
Sarah Lawrence College	Bronxville	NY		\$ 10,000.00			\$ 10,000.00	\$ -
SEED Foundation	Washington	DC		\$ 2,500.00			\$ 2,500.00	\$ -
Skidmore College	Saratoga Springs	NY		\$ 10,000.00			\$ 10,000.00	\$ -
Southampton Hospital	Southampton	NY		\$ 5,000.00			\$ 5,000.00	\$ -
St. John's Church	New York	NY		\$ 10,000.00			\$ 10,000.00	\$ -
St. Paul's School	Concord	NY		\$ 5,000.00			\$ 5,000.00	\$ -
St. Thomas Choir School	New York	NY		\$ 25,000.00			\$ 25,000.00	\$ -
St. Thomas More Play Group	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Syracuse University, Newhouse School of Communications	Syracuse	NY		\$ 45,000.00			\$ 45,000.00	\$ -
The Aspen Institute	New York	NY		\$ 10,000.00			\$ 10,000.00	\$ -
The Brearley School	New York	NY		\$ 15,000.00			\$ 15,000.00	\$ -
The Corning Museum of Glass	Corning	NY		\$ 10,000.00			\$ 10,000.00	\$ -
The Council on Foreign Relations	New York	NY		\$ 25,000.00			\$ 25,000.00	\$ -
The Green Vale School	Old Brookville	NY		\$ 6,000.00			\$ 6,000.00	\$ -
The Hotchkiss School	Lakeville	CT		\$ 5,000.00			\$ 5,000.00	\$ -
The Lymphoma Foundation	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
The Marc Lustgarten Pancreatic Cancer Foundation	Bethpage	NY		\$ 5,000.00			\$ 5,000.00	\$ -
The National Center on Addiction and Substance Abuse at Columbia University	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -

Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds Adjustment	Paid During Year	Unpaid End of Year
The Nature Conservancy	New York	NY		\$ 10,000.00			\$ 10,000.00	\$ -
The New York Historical Society	New York	NY		\$ 10,000.00			\$ 10,000.00	\$ -
The Preservation Foundation of Palm Beach	Palm Beach	FL		\$ 10,000.00				\$ 10,000.00
The Public Agenda Foundation	New York	NY		\$ 30,000.00			\$ 30,000.00	\$ -
The Reading Team, Inc.	New York	NY		\$ 175,000.00			\$ 175,000.00	\$ -
The Society of the Four Arts	Palm Beach	FL		\$ 10,000.00			\$ 10,000.00	\$ -
The Susan G. Komen Breast Cancer Foundation	Dallas	TX		\$ 25,000.00			\$ 25,000.00	\$ -
The Winsor School	Boston	MA		\$ 50,000.00			\$ 50,000.00	\$ -
United Jewish Association/Federation of Jewish Philanthropies	New York	NY		\$ 25,000.00			\$ 25,000.00	\$ -
University of Virginia	Charlottesville	VA		\$ 20,000.00			\$ 20,000.00	\$ -
University of Virginia School of Law	Charlottesville	VA		\$ 25,000.00			\$ 25,000.00	\$ -
University of Virginia - The College Foundation	Charlottesville	VA		\$ 15,000.00			\$ 15,000.00	\$ -
UrbanGlass	Brooklyn	NY		\$ 10,000.00			\$ 10,000.00	\$ -
Washington English Center	Washington	DC		\$ 2,500.00			\$ 2,500.00	\$ -
Washington National Cathedral	Washington	DC		\$ 10,000.00			\$ 10,000.00	\$ -
WETA	Arlington	VA		\$ 5,000.00			\$ 5,000.00	\$ -
Wheaton Arts and Cultural Center	Millville	NJ		\$ 10,000.00			\$ 10,000.00	\$ -
Wyly Community Art Center	Basalt	CO		\$ 5,000.00			\$ 5,000.00	\$ -
Year Up	Boston	MA		\$ 10,000.00			\$ 10,000.00	\$ -
Employee Gift Matching Program				\$ 28,660.00			\$ 28,660.00	\$ -
Bowdoin College	Brunswick	ME		\$ 300.00			\$ 300.00	\$ -
Brooksville Free Public Library	Brooksville	ME		\$ 1,000.00			\$ 1,000.00	\$ -
Center for Food Action In New Jersey	Englewood	NJ		\$ 110.00			\$ 110.00	\$ -
Gay Men's Health Crisis, Inc.	New York	NY					\$ -	\$ -
Hudson Valley Shakespeare Festival	Cold Spring	NY		\$ 1,000.00			\$ 1,000.00	\$ -
Johns Hopkins University Bloomberg School of Public Health	Baltimore	MD		\$ 5,000.00			\$ 5,000.00	\$ -
League of Women Voters NY State Education Fund	Albany	NY		\$ 200.00			\$ 200.00	\$ -
League of Women Voters of the City of New York Education Fund	New York	NY		\$ 800.00			\$ 800.00	\$ -

Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds Adjustment	Paid During Year	Unpaid End of Year
Madison Avenue Presbyterian Church	New York	NY		\$ 100.00			\$ 100.00	\$ -
Maine Community Foundation	Ellsworth	ME		\$ 1,000.00			\$ 1,000.00	\$ -
Nathan R. Cobb Sr. Foundation	Farmville	NC		\$ 100.00			\$ 100.00	\$ -
National Multiple Sclerosis Society- NYC & Southern NY Chapter	New York	NY		\$ 7,000.00			\$ 7,000.00	\$ -
New York Public Radio	New York	NY		\$ 120.00			\$ 120.00	\$ -
Paul Taylor Dance Foundation, Inc.	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Peninsula Ambulance Corps	Blue Hill	ME		\$ 600.00			\$ 600.00	\$ -
Philippine Basketball Ministry NY	Coram	NY		\$ 2,200.00			\$ 2,200.00	\$ -
St. Claire of Assisi Church	Bronx	NY		\$ 100.00			\$ 100.00	\$ -
Still Mind Zendo	New York	NY		\$ 3,880.00			\$ 3,880.00	\$ -
Trustees of Hamilton College	Clinton	NY		\$ 150.00			\$ 150.00	\$ -
Human Immunology			\$ 75,000.00		\$ (75,000.00)			\$ -
Institut de Transplantation Et de Recherche en Transplantation	Nantes	*France	\$ 40,000.00		\$ (40,000.00)			\$ -
Joan & Sanford I. Weill Medical College of Cornell University	New York	NY	\$ 35,000.00		\$ (35,000.00)			\$ -
Imaging			\$ 2,480,000.00	\$ 1,700,000.00	\$ (212,207.95)	\$ (4,744.92)	\$ 1,922,536.97	\$ 2,050,000.00
Baylor College of Medicine	Houston	TX	\$ 30,000.00		\$ (30,000.00)			\$ -
Boston College	Chestnut Hill	MA	\$ 150,000.00				\$ 50,000.00	\$ 100,000.00
Columbia University	New York	NY	\$ 100,000.00				\$ 100,000.00	\$ -
Columbia University Medical Center	New York	NY	\$ 200,000.00				\$ 100,000.00	\$ 100,000.00
Emory University	Atlanta	GA		\$ 200,000.00			\$ 50,000.00	\$ 150,000.00
Hugo W. Moser Research Institute at Kennedy Krieger, Inc.	Baltimore	MD		\$ 200,000.00			\$ 50,000.00	\$ 150,000.00
Joan & Sanford I. Weill Medical College of Cornell University	New York	NY	\$ 150,000.00				\$ 50,000.00	\$ 100,000.00
Medical University of South Carolina	Charleston	SC	\$ 200,000.00				\$ 200,000.00	\$ -
Memorial Sloan Kettering Cancer Center	New York	NY	\$ 250,000.00	\$ 200,000.00			\$ 200,000.00	\$ 250,000.00
New York University School of Medicine	New York	NY	\$ 100,000.00				\$ 100,000.00	\$ -
Research Foundation for Mental Hygiene	New York	NY		\$ 200,000.00			\$ 50,000.00	\$ 150,000.00
Stanford University School of Medicine	Stanford	CA	\$ 250,000.00	\$ 200,000.00			\$ 100,000.00	\$ 350,000.00
SUNY Stony Brook School of Medicine	Stony Brook	NY		\$ 100,000.00			\$ 50,000.00	\$ 50,000.00

Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds Adjustment	Paid During Year	Unpaid End of Year
The Children's Hospital of Philadelphia	Philadelphia	PA	\$ 50,000.00		\$ (609.00)		\$ 49,391.00	\$ -
The Feinstein Institute for Medical Research	Manhasset	NY	\$ 100,000.00		\$ (76,164.26)		\$ 23,835.74	\$ -
The Salk Institute for Biological Studies	La Jolla	CA	\$ 100,000.00				\$ 100,000.00	\$ -
The University of Arizona College of Medicine	Tucson	AZ	\$ 200,000.00				\$ 100,000.00	\$ 100,000.00
The University of Texas at Austin	Austin	TX			\$ (1,632.82)	\$ (1,632.82)		\$ -
Trustees of the University of Pennsylvania	Philadelphia	PA		\$ 200,000.00			\$ 50,000.00	\$ 150,000.00
University of California at Berkeley	Berkeley	CA		\$ 200,000.00			\$ 50,000.00	\$ 150,000.00
University of Colorado Denver	Denver	CO	\$ 150,000.00				\$ 50,000.00	\$ 100,000.00
University of Pittsburgh School of Medicine	Pittsburgh	PA	\$ 100,000.00				\$ 100,000.00	\$ -
Wake Forest University	Winston Salem	NC	\$ 100,000.00		\$ (100,000.00)			\$ -
Washington University School of Medicine	Saint Louis	MI	\$ 150,000.00				\$ 150,000.00	\$ -
Yale University	New Haven	CT	\$ 100,000.00	\$ 200,000.00	\$ (3,801.87)	\$ (3,112.10)	\$ 149,310.23	\$ 150,000.00
Neuroimmunology			\$ 100,000.00		\$ (239.44)	\$ (239.44)	\$ 100,000.00	\$ -
Joan & Sanford I. Weill Medical College of Cornell University	Ithaca	NY	\$ 100,000.00				\$ 100,000.00	\$ -
University of North Carolina School of Medicine	Chapel Hill	NC			\$ (239.44)	\$ (239.44)		\$ -
Neuroscience-Related:			\$ 1,100,000.00	\$ 772,276.04	\$ (18,480.78)	\$ (18,480.78)	\$ 839,401.04	\$ 1,032,875.00
American Association for the Advancement of Science	Washington	DC		\$ 132,200.00	\$ (3,571.40)	\$ (3,571.40)	\$ 132,200.00	\$ -
American Museum of Natural History	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Americans for Oxford, Inc.	New York	NY		\$ 10,000.00			\$ 10,000.00	\$ -
Brooklyn Botanic Garden	Brooklyn	NY		\$ 2,500.00			\$ 2,500.00	\$ -
Dana-Farber Cancer Institute	Boston	BA	\$ 800,000.00				\$ 100,000.00	\$ 700,000.00
Federation of European Neuroscience Societies	Brussels	*Belgium		\$ 63,616.04			\$ 63,616.04	\$ -
Frick Collection	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
Harvard University	Cambridge	MA			\$ (14,909.38)	\$ (14,909.38)		\$ -
International Center of Photography	New York	NY		\$ 5,000.00			\$ 5,000.00	\$ -
International Neuroethics Society	Bethesda	MD		\$ 104,960.00			\$ 104,960.00	\$ -
Johns Hopkins University	Baltimore	MD	\$ 200,000.00				\$ 100,000.00	\$ 100,000.00