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For calendar year 2015, or tax year beginning 11-01-2015, and ending 10-31-2016

Name of foundation CRAIG B TATE FOUNDATION		A Employer identification number 06-6505023	
Number and street (or P O box number if mail is not delivered to street address) C/O BLAIR POTTS PO BOX 1214		Room/suite	BT Telephone number (see instructions) (203) 327-2333
City or town, state or province, country, and ZIP or foreign postal code STAMFORD, CT 069041214		C If exemption application is pending, check here	
G Check all that apply <div><input type="checkbox"/> Initial return</div> <div><input type="checkbox"/> Initial return of a former public charity</div> <div><input type="checkbox"/> Final return</div> <div><input type="checkbox"/> Amended return</div> <div><input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Name change</div>		D 1. Foreign organizations, check here	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here	
<input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here	
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 2,969,967		J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) (Part I, column (d) must be on cash basis)	

Part I	Analysis of Revenue and Expenses	Revenue and expenses per books (a)	Net investment income (b)	Adjusted net income (c)	Disbursements for charitable purposes (d) (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	78,153	78,153		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	100,679			
	b Gross sales price for all assets on line 6a				
	7 Capital gain net income (from Part IV , line 2)		100,679		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total.Add lines 1 through 11	178,832	178,832		
	13 Compensation of officers, directors, trustees, etc	0	0		0
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule).	4,750	4,750		0
	b Accounting fees (attach schedule).				
	c Other professional fees (attach schedule)	11,238	11,238		0
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	2,292	0		0
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings.				
	22 Printing and publications				
	23 Other expenses (attach schedule).				
	24 Total operating and administrative expenses. Add lines 13 through 23	18,280	15,988		0
	25 Contributions, gifts, grants paid	154,502			154,502
	26 Total expenses and disbursements.Add lines 24 and 25	172,782	15,988		154,502
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	6,050			
	b Net investment income (if negative, enter -0-)		162,844		
	c Adjusted net income(if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	9,577	45,867	45,867
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions).			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	1,393,522	1,363,332	2,289,572
	c	Investments—corporate bonds (attach schedule)	578,950	578,950	634,528
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15	Other assets (describe ▶ _____)				
16	Total assets(to be completed by all filers—see the instructions Also, see page 1, item I)	1,982,049	1,988,149	2,969,967	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities(add lines 17 through 22)	0	0	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds	0	50	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund	0	0	
	29	Retained earnings, accumulated income, endowment, or other funds	1,982,049	1,988,099	
	30	Total net assets or fund balances(see instructions)	1,982,049	1,988,149	
31	Total liabilities and net assets/fund balances(see instructions)	1,982,049	1,988,149		

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)	1,982,049
2	Enter amount from Part I, line 27a	6,050
3	Other increases not included in line 2 (itemize) ▶ _____	50
4	Add lines 1, 2, and 3	1,988,149
5	Decreases not included in line 2 (itemize) ▶ _____	0
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	1,988,149

Part IV

Capital Gains and Losses for Tax on Investment Income

List and describe the kind(s) of property sold (e g , real estate, (a) 2-story brick warehouse, or common stock, 200 shs MLC Co)		How acquired P—Purchase (b) D—Donation	Date acquired (c) (mo , day, yr)	Date sold (d) (mo , day, yr)
1 a	SEE SCHEDULE ATTACHED	P		
b	SEE SCHEDULE ATTACHED	P		
c	CAPITAL GAINS DIVIDENDS	P		
d				
e				

(e) Gross sales price	Depreciation allowed (f) (or allowable)	Cost or other basis (g) plus expense of sale	Gain or (loss) (h) (e) plus (f) minus (g)
a			1
b			100,452
c	226		226
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) (l)
(i) F M V as of 12/31/69	Adjusted basis (j) as of 12/31/69	Excess of col (i) (k) over col (j), if any	
a			1
b			100,452
c			226
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	100,679
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			

Part V

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

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income)
If section 4940(d)(2) applies, leave this part blank

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2014	133,000	3,151,040	0 042208
2013	144,600	3,033,299	0 047671
2012	111,000	2,709,318	0 040970
2011	110,000	2,530,831	0 043464
2010	119,000	2,518,523	0 047250

2	Total of line 1, column (d).	2	0 221563
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 044313
4	Enter the net value of noncharitable-use assets for 2015 from Part X, line 5.	4	3,017,584
5	Multiply line 4 by line 3.	5	133,718
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	1,628
7	Add lines 5 and 6.	7	135,346
8	Enter qualifying distributions from Part XII, line 4.	8	154,502

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

Part VII

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	1,628
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	1,628
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	0
5 Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-		5	1,628
6 Credits/Payments			
a 2015 estimated tax payments and 2014 overpayment credited to 2015	6a	3,000	
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	3,000
8 Enter any penalty for underpayment of estimated tax Check here <input checked="" type="checkbox"/> if Form 2220 is attached		8	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed ▶		9	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid . . . ▶		10	1,372
11 Enter the amount of line 10 to be Credited to 2015 estimated tax ▶ 1,372 Refunded ▶		11	0

Part VII-A

Statements Regarding Activities

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		Yes	No
1a				No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for 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>	1b		No
c	Did the foundation file Form 1120-POL for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ \$ _____ 0 (2) On foundation managers ▶ \$ _____ 0			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ \$ _____ 0			
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>	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	3		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on Form 990-T for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T</i>	5		No
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?	6		No
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ CT _____			
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>	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2015 or the taxable year beginning in 2015 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>	9		No
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>	10		No

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ N/A	13	Yes	
14	The books are in care of ▶ BLAIR POTTS PO BOX 1214 Telephone no ▶ (203) 327-2333 Located at ▶ 107 ELM STREET FOUR STAMFORD PLAZA STAMFORD CT ZIP+4 ▶ 069041214			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year ▶ 15			
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? See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country ▶	16	Yes	No

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? <input type="checkbox"/> Organizations relying on a current notice regarding disaster assistance check here. ▶ <input type="checkbox"/>	1b		
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2015?	4b		No

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required (Continued)

5a

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

(1)

Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes

☒ No

(2)

Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?

☐ Yes

☒ No

(3)

Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes

☒ No

(4)

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

☐ Yes

☒ No

(5)

Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes

☒ No

b

If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

5b

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

c

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

☐ Yes

☐ No

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

6a

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

☐ Yes

☒ No

b

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

6b

No

If "Yes" to 6b, file Form 8870

7a

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

☐ Yes

☒ No

b

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

7b

Part VIII

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

1

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

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
SHARON G TATE	TRUSTEE	0	0	0
75 MIDDLE RIDGE ROAD NEW CANAAN, CT 06840	0 00			

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	Title, and average hours per week (b) devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
NONE				

Total

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

0

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Part VIII

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		

Total number of others receiving over \$50,000 for professional services. 0

Part IX-A

Summary of Direct Charitable Activities

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

	Expenses
1	
2	
3	
4	

Part IX-B

Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
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	2,994,570
b	Average of monthly cash balances.	1b	68,967
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	3,063,537
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	3,063,537
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	45,953
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	3,017,584
6	Minimum investment return. Enter 5% of line 5.	6	150,879

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	150,879
2a	Tax on investment income for 2015 from Part VI, line 5.	2a	1,628
b	Income tax for 2015 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	1,628
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	149,251
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	149,251
6	Deduction from distributable amount (see instructions).	6	0
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	149,251

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	154,502
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
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	154,502
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	1,628
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	152,874

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				149,251
2 Undistributed income, if any, as of the end of 2015				
a Enter amount for 2014 only.			154,502	
b Total for prior years 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2015				
a From 2010.				
b From 2011.				
c From 2012.				
d From 2013.				
e From 2014.				
f Total of lines 3a through e.	0			
4 Qualifying distributions for 2015 from Part XII, line 4 ► \$ 154,502				
a Applied to 2014, but not more than line 2a			154,502	
b Applied to undistributed income of prior years (Election required—see instructions).		0		
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2015 distributable amount.				0
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2015 (If an amount appears in column (d), the same amount must be shown in column (a))	0			0
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0			
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.		0		
d Subtract line 6c from line 6b Taxable amount—see instructions		0		
e Undistributed income for 2014 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015.				149,251
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).	0			
8 Excess distributions carryover from 2010 not applied on line 5 or line 7 (see instructions).	0			
9 Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a.	0			
10 Analysis of line 9				
a Excess from 2011.				
b Excess from 2012.				
c Excess from 2013.				
d Excess from 2014.				
e Excess from 2015.				

Part XIV

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

1a

If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2015, enter the date of the ruling.

b

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

2a

Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

Tax year	Prior 3 years			(e) Total
(a) 2015	(b) 2014	(c) 2013	(d) 2012	
b 85% of line 2a				
c Qualifying distributions from Part XII, line 4 for each year listed				
d Amounts included in line 2c not used directly for active conduct of exempt activities				
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c				

3

Complete 3a, b, or c for the alternative test relied upon

a

"Assets" alternative test—enter

(1)

Value of all assets

(2)

Value of assets qualifying under section 4942(j)(3)(B)(i)

b

"Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed.

c

"Support" alternative test—enter

(1)

Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)

(2)

Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).

(3)

Largest amount of support from an exempt organization

(4)

Gross investment income

Part XV

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

1

Information Regarding Foundation Managers:

a

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

SHARON G TATE

b

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

2

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

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

a

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

b

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

c

Any submission deadlines

d

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

Form 990-PF (2015)

Part XV

Supplementary Information(continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<div>a Paid during the year</div> <div>See Additional Data Table</div>				
<div>Total</div>			<div>▶ 3a</div>	154,502
<div>b Approved for future payment</div>				
<div>Total</div>			<div>▶ 3b</div>	0

Enter gross amounts unless otherwise indicated

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

[illegible]

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

Paid Preparer Use Only	Print/Type preparer's name ANDREW R MEYERS	Preparer's Signature	Date	Check if self-employed <input type="checkbox"/>	PTIN P00460729
	Firm's name <input type="checkbox"/> BLAIR & POTTS PO BOX 1214			Firm's EIN <input type="checkbox"/>	06-1357173
	Firm's address <input type="checkbox"/> 107 ELM STREET FOUR STAMFORD PLAZA STAMFORD, CT 069041214			Phone no <input type="checkbox"/>	(203) 327-2333

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
AMERICAN RED CROSS 51 MAIN STREET NEW CANAAN,CT 06840			MEDICAL	5,000
AMERICARES 88 HAMILTON AVENUE STAMFORD,CT 06902			PUBLIC	20,002
CANCER HOPE NETWORK TWO NORTH ROAD CHESTER,NJ 07930			MEDICAL	1,500
CONNECTICUT ZOOLOGICAL SOCIETY INC 1875 NOBLE AVENUE BRIDGEPORT,CT 06610			EDUCATIONAL	4,000
DECISION EDUCATION FOUNDATION 745 EMERSON STREET PALO ALTO,CA 94301			EDUCATION	3,000
FISHER CENTER FOR ALZHEIMER'S RESEARCH ONE INTREPID SQUARE NEW YORK,NY 10036			MEDICAL	5,000
FOOD BANK OF LOWER FAIRFIELD COUNTY 461 GLENBROOK ROAD STAMFORD,CT 06906			SOCIAL	6,000
FREEDON FROM FISTULA FOUNDATION 777 UNITED NATIONS PLAZA 6TH FL NEW YORK,NY 10017			MEDICAL	1,500
GIVE KIDS THE WORLD 210 SOUTH BASS ROAD KISSIMMEE,FL 34746			SOCIAL	2,000
HABITAT FOR HUMANITY INTERNATIONAL 1542 BARNUM AVENUE BRIDGEPORT,CT 06610			AFFORDABLE HOUSING	5,000
LANTERN HILL 511 E SAN YSIDRO BLVD 6234 SAN YSIDRO,CA 92173			EDUCATION	3,000
NEPHCURE KIDNEY INTERNATIONAL 15 WATERLOO AVENUE BERWYN,PA 19312			MEDICAL	2,000
NEW CANAAN LIBRARY 151 MAIN STREET NEW CANAAN,CT 06840			EDUCATION	3,000
NEW YORK CITY CHILDREN'S THEATER 340 EAST 46TH STREET NEW YORK,NY 10017			ARTISTIC	5,000
NORWALK HOSPITAL FOUNDATION 34 MAPLE STRRET NORWALK,CT 06856			MEDICAL	2,000
Total ▶ 3a				154,502

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ON THE ROAD COLLABORATOR PO BOX 1393 HARRISONBURG,VA 22803			CIVIC	3,000
OPPORTUNITY INTERNATIONAL 2122 YORK ROAD OAK BROOK,IL 60523			SOCIAL	2,000
PACIFIC HOUSE 597 PACIFIC STREET STAMFORD,CT 06902			CIVIC	10,000
PRESBYTERIAN PROMISE 1101 BEDFORD STREET STAMFORD,CT 06905			RELIGIOUS	1,000
PRESBYTERY OF SOUTHERN NEW ENGLAND 123 ELM STREET 200 OLD SAYBROOK,CT 06475			RELIGIOUS	3,500
PRO ARTE SINGERS PO BOX 4251 STAMFORD,CT 069070251			ART	8,500
REACH NEWTOWN 21 THE BOULEVARD NEWTOWN,CT 06470			SOCIAL	2,000
SOLES FOR SOULS 319 MARTINGALE DRIVE OLD HICKORY,TN 37138			RELIGIOUS	1,000
STANFORD UNIVERSITY 562 SALVATIERRA WALK STANFORD,CA 94305			EDUCATION	5,000
STEPPINGSTONE FOUNDATION 155 FEDERAL STREET BOSTON,MA 02110			EDUCATION	5,000
SUMMER THEATRE OF NEW CANAAN 70 PINE STREET NEW CANAAN,CT 06840			CULTURALCULTURAL	16,000
THE CHIDRENS FOUNDATION 146 S LIBERTY DRIVE STONY POINT,NY 10980			CIVIC	1,000
THE CHILDRENS ROOM 1210 MASSACHUSETTS AVE ARLINGTON,MA 02476			EDUCATION	9,000
THE LEUKEMIA LYMPHOMA SOCIETY 25 THIRD STREET SUITE 419 STAMFORD,CT 06905			MEDICAL	2,500
TUCK SCHOOL OF BUSINESS AT DARTMOUTH COLLEGE 100 TUCK HALL HANOVER,NH 037553555			EDUCATION	5,000
Total ▶ 3a				154,502

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
WATERSIDE SCHOOL 770 PACIFIC STREET STAMFORD,CT 06902			EDUCATION	4,000
WAVENY CARE CENTER ANNUAL APPEAL 3 FARM ROAD NEW CANAAN,CT 06840			MEDICAL	5,000
YTA - EAST PALO ALTO CHAPTER PO BOX 60597 PALO ALTO,CA 94306			EDUCATION	3,000
Total ▶ 3a				154,502

TY 2015 Investments Corporate Bonds Schedule**Name:** CRAIG B TATE FOUNDATION**EIN:** 06-6505023

Name of Bond	End of Year Book Value	End of Year Fair Market Value
200,000 PEPSICO, INC. 5.00% 6/1/18	191,500	212,020
200,000 JOHNSON & JOHNSON 5.155 7/15/18	198,118	213,708
100,000 IBM 5.70% 9/14/17	99,317	104,010
100,000 AT&T 5.50% 2/1/18	90,015	104,790

TY 2015 Investments Corporate Stock Schedule**Name:** CRAIG B TATE FOUNDATION**EIN:** 06-6505023

Name of Stock	End of Year Book Value	End of Year Fair Market Value
1,000 SHS COLGATE-PALMOLIVE CO.	29,118	71,360
600 SHS JOHNSON & JOHNSON	35,753	69,594
500 SHS 3M CO.	0	0
1,000 SHS VERISK ANALYTICS, INC.	27,663	81,550
1,400 SHS US BANCORP	34,806	62,664
800 SHS SCHLUMBERGER	27,270	62,584
400 EQUITY RESIDENTIAL	9,993	24,700
1,300 SHS JP MORGAN CHASE & CO.	43,473	90,038
800 SHS TIFFANY & CO.	0	0
250 SHS BLACKROCK, INC.	60,096	85,310
600 SHS VANGUARD SMALL CAP	54,021	70,332
700 SHS AMERISOURCEBERGEN CORP.	0	0
1,000 SHS WALT DISNEY CO.	60,537	92,690
600 SHS ECOLAB, INC.	26,524	68,502
350 SHS MCDONALDS CORP	20,774	39,399
1,000 SHS STATE STREET CORP	0	0
1,000 SHS FACEBOOK, INC.	0	0
1,000 SHS COGNIZANT TECHNOLOGY SOLUTIONS CORP	41,752	51,350
500 SHS GILEAD SCIENCES, INC.	33,460	36,815
900 SHS TJX COMPANIES, INC.	53,619	66,375
500 SHS TIME WARNER, INC.	38,539	44,495
700 SHS NIELSEN HOLDINGS B.V.	33,557	31,514
2,000 SHS BLACKSTONE GROUP, LP	0	0
800 SHS STRYKER CORP.	0	0
275 SHS PEPSICO, INC.	15,271	29,480
900 SHS MEAD JOHNSON	69,178	67,293
400 SHS AUTOMATIC DATA PROCESSING, INC.	0	0
400 SHS JOHNSON CONTROLS, INC.	0	0
400 SHS ACCENTURE PLC	15,089	46,496
600 SHS VERIZON COOMUNICATIONS	0	0

Name of Stock	End of Year Book Value	End of Year Fair Market Value
900 SHS APPLE, INC	13,793	102,186
1,100 SHS ANADARKO PETROLEUM	46,775	65,384
875 SHS ABBVIE, INC.	50,593	48,808
1,700 SHS PAYPAL HOLDINGS, INC.	62,572	70,822
600 SHS HAIN CELESTRIAL GROUP, INC.	0	0
400 SHS ALIBABA GROUP HOLDINGS	0	0
550 SHS ISHARES MSCI EAFE INDEX	37,502	31,801
1,500 SHS VISA, INC.	25,574	123,765
100 SHS ALPHABET, INC. CL C	20,161	78,454
75 SHS ALPHABET, INC. CL A	0	0
25 SHS ALPHABET, INC CL A	4,997	20,248
300 SHS AUTOMATIC DATA PROCESSING, INC	10,378	26,118
800 SHS BRISTOL MYERS SQUIBB CO	53,947	40,728
700 SHS FACEBOOK, INC	17,106	91,693
1,500 SHS GENERAL ELECTRIC CO	46,585	43,650
775 SHS STATE STREET CORP.	19,449	54,413
600 SHS STRYKER CORP.	16,271	69,210
800 SHS TETRA, INC	30,123	30,760
1,300 SHS VERIZON COMMUNICATIONS, INC	63,554	62,530
250 SHS 3M CO	21,678	41,325
400 SHS FIDELITY NATIONAL INFORMATION SERVICES, INC	30,475	29,568
700 SHS FIRST REPUBLIC BANK	46,046	52,101
334 SHS JOHNSON CONTROLS INTERNATIONAL PLC	15,260	13,467

TY 2015 Legal Fees Schedule**Name:** CRAIG B TATE FOUNDATION**EIN:** 06-6505023

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BLAIR & POTTS - LEGAL	4,565	4,565		0
BLAIR & POTTS - DISBURSEMENTS	185	185		0

TY 2015 Other Increases Schedule**Name:** CRAIG B TATE FOUNDATION**EIN:** 06-6505023

Description	Amount
PRIOR YEAR BASIS ADJUSTMENT	50

TY 2015 Other Professional Fees Schedule

Name: CRAIG B TATE FOUNDATION

EIN: 06-6505023

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT FEES	10,045	10,045		0
CUSTODY FEES	1,193	1,193		0

TY 2015 Taxes Schedule**Name:** CRAIG B TATE FOUNDATION**EIN:** 06-6505023

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
2015 ESTIMATED TAX	2,292	0		0

BARRETT ASSET MANAGEMENT, LLC
REALIZED GAINS AND LOSSES
 Craig B. Tate Foundation
 205570

From 11-01-15 Through 10-31-16

Quantity	Security	Open Date	Close Date	Proceeds	Gain Or Loss		
					Cost Basis	Short Term	Long Term
Short Term							
0	Johnson Controls International PLC	09-06-16	09-12-16	13.56	12.79	0.77	
Long Term							
150	3M Company	09-20-10	02-11-16	22,600.41	13,007.19		9,593.22
200	Facebook, Inc. Cl A	11-21-12	02-19-16	20,875.54	4,887.28		15,988.26
225	State Street Corp	03-16-09	03-11-16	12,934.94	5,646.26		7,288.68
400	Tiffany & Co.	02-03-12	05-13-16	25,928.99	26,058.72		(129.73)
100	Tiffany & Co.	02-14-12	05-13-16	6,482.25	6,478.15		4.10
100	Tiffany & Co.	02-07-12	05-13-16	6,482.25	6,477.84		4.41
200	Tiffany & Co.	07-25-12	05-13-16	12,964.49	10,999.88		1,964.61
400	Alibaba Group Hldg Ltd Sponsored ADS	02-05-15	05-26-16	31,151.92	34,925.64		(3,773.72)
400	Johnson Controls, Inc.	11-02-09	09-06-16	17,564.97	9,861.32		7,703.65
700	AmerisourceBergen Corp.	06-28-13	09-07-16	61,255.73	39,023.04		22,232.69
600	Hain Celestial Group, Inc.	02-05-15	09-07-16	21,938.58	34,975.62		(13,037.04)
50	Alphabet, Inc. Cl A	05-06-09	09-16-16	39,824.13	10,111.10		29,713.03
100	Facebook, Inc. Cl A	11-21-12	10-17-16	12,748.53	2,443.64		10,304.89
200	Stryker Corp.	03-22-02	10-17-16	22,697.00	5,910.00		16,787.00
100	Automatic Data Processing, Inc.	06-27-06	10-18-16	8,740.86	3,521.70		5,219.16
500	Blackstone Group LP	02-27-14	10-18-16	11,713.89	16,396.84		(4,682.95)
500	Blackstone Group LP	01-31-14	10-18-16	11,713.89	16,165.59		(4,451.70)
100	3M Company	09-20-10	10-18-16	17,001.62	8,671.46		8,330.16

BARRETT ASSET MANAGEMENT, LLC
REALIZED GAINS AND LOSSES

Craig B. Tate Foundation

205570

From 11-01-15 Through 10-31-16

Quantity	Security	Open Date	Close Date	Proceeds	Cost Basis	Gain Or Loss	
						Short Term	Long Term
1,000	Blackstone Group LP	01-31-14	10-19-16	23,724.58	32,331.17		(8,606.59)
Subtotal Long Term				388,344.57	287,892.45		100,452.12
TOTAL GAINS						0.77	135,133.85
TOTAL LOSSES							(34,681.73)
TOTAL REALIZED GAIN/LOSS				388,358.13	287,905.24	0.77	100,452.12
		100,452.89					