

Department of the Treasury  
Internal Revenue Service

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Open to Public Inspection

For calendar year 2016 or tax year beginning , 2016, and ending , 20

Name of foundation  
**THE BIRCHROCK FOUNDATION**

Number and street (or P O box number if mail is not delivered to street address) Room/suite  
C/O THE AYCO COMPANY, PO BOX 15014  
City or town, state or province, country and ZIP or foreign postal code  
ALBANY, NY 12212-5014

**A Employer identification number**  
04-3424527

**B Telephone number (see instructions)**  
(518) 640-5000

**C** If exemption application is pending, check here.

**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.

**G** Check all that apply:  Initial return  Initial return of a former public charity  
 Final return  Amended return  
 Address change  Name change

**H** Check type of organization:  Section 501(c)(3) exempt private foundation  
 Section 4947(a)(1) nonexempt charitable trust  Other taxable private foundation

**I** Fair market value of all assets at end of year (from Part II, col (c), line 16) **\$** 5,048,836.

**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)	1,000,000.			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B.				
	3 Interest on savings and temporary cash investments.	97.	97.		ATCH 1
	4 Dividends and interest from securities	42,305.	42,305.		ATCH 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	36,439.			
	b Gross sales price for all assets on line 6a	36,439.			
	7 Capital gain net income (from Part IV, line 2)		36,439.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule) ATCH. 3	452,497.	449,093.			
12 Total. Add lines 1 through 11	1,531,338.	527,934.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.	0.			
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule) ATCH. 4	7,700.	0.		
	c Other professional fees (attach schedule)				
	17 Interest ATCH 5.	4,658.	4,658.		
	18 Taxes (attach schedule) (see instructions) [ 6 ]	2,190.	2,190.		
	19 Depreciation (attach schedule) and depletion.				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule) ATCH. 7.	79,867.	78,618.		
	24 Total operating and administrative expenses. Add lines 13 through 23.	94,415.	85,466.		
	25 Contributions, gifts, grants paid	301,608.			301,608.
26 Total expenses and disbursements Add lines 24 and 25	396,023.	85,466.	0.	301,608.	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	1,135,315.				
b Net investment income (if negative, enter -0-)		442,468.			
c Adjusted net income (if negative, enter -0-)					

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Part II Balance Sheets	Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing . . . . .			
	2 Savings and temporary cash investments . . . . .	183,930.	1,128,763.	1,128,763.
	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) . . . . .	6,489.	2,387.	ATCH 8 2,417.
	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) . . . . .			
	c Investments - corporate bonds (attach schedule) . . . . .			
	11 Investments - land, buildings, and equipment basis ▶			
Less accumulated depreciation ▶ (attach schedule)				
12 Investments - mortgage loans . . . . .				
13 Investments - other (attach schedule) . . . . . ATCH 9	3,230,502.	3,425,086.	3,667,656.	
14 Land, buildings, and equipment basis ▶				
Less accumulated depreciation ▶ (attach schedule)				
15 Other assets (describe ▶ ATCH 10 )	250,000.	250,000.	250,000.	
16 Total assets (to be completed by all filers - see the instructions Also, see page 1, item I) . . . . .	3,670,921.	4,806,236.	5,048,836.	
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"/>			
	24 Unrestricted . . . . .			
	25 Temporarily restricted . . . . .			
	26 Permanently restricted . . . . .			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input checked="" type="checkbox"/>			
	27 Capital stock, trust principal, or current funds . . . . .	3,670,921.	4,806,236.	
	28 Paid-in or capital surplus, or land, bldg, and equipment fund . . . . .			
	29 Retained earnings, accumulated income, endowment, or other funds . . . . .			
30 Total net assets or fund balances (see instructions) . . . . .	3,670,921.	4,806,236.		
31 Total liabilities and net assets/fund balances (see instructions) . . . . .	3,670,921.	4,806,236.		

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	3,670,921.
2 Enter amount from Part I, line 27a . . . . .	2	1,135,315.
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3 . . . . .	4	4,806,236.
5 Decreases not included in line 2 (itemize) ▶	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 . . . . .	6	4,806,236.

**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1 a SEE PART IV SCHEDULE				
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				
b				
c				
d				
e				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69				(i) Gains (Col (h) gain minus col. (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any		
a				
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	36,439.
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

1 Enter the appropriate amount in each column for each year, see the instructions before making any entries			
(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	319,284.	4,387,531.	0.072771
2014	271,290.	4,673,186.	0.058052
2013	366,616.	4,574,631.	0.080141
2012	282,567.	4,587,727.	0.061592
2011	512,857.	4,881,427.	0.105063
2	Total of line 1, column (d)		2 0.377619
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 0.075524
4	Enter the net value of noncharitable-use assets for 2016 from Part X, line 5		4 4,051,512.
5	Multiply line 4 by line 3.		5 305,986.
6	Enter 1% of net investment income (1% of Part I, line 27b).		6 4,425.
7	Add lines 5 and 6.		7 310,411.
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		8 301,608.

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

Table with 11 rows for excise tax calculations. Includes categories like 'Exempt operating foundations', 'Domestic foundations that meet the section 4940(e) requirements', and 'Tax under section 511'. Total tax due is 13,283.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Includes questions like 'During the tax year, did the foundation attempt to influence any national, state, or local legislation?' and 'Has the foundation engaged in any activities that have not previously been reported to the IRS?'. Includes a 'Yes/No' column.

**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	Yes	No X
12. Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions).	12		X
13. Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address: N/A	13	X	
14. The books are in care of: THE AYCO COMPANY - NTG Located at: P.O. BOX 15014 ALBANY, NY Telephone no: (518) 640-5000 ZIP+4: 12212-5014			
15. Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year.	15		
16. At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country.	16	Yes	No X

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

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

	Yes	No	
1a. During the year did the foundation (either directly or indirectly): (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <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 checked="" type="checkbox"/> Yes <input 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)? 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 2016?	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 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? If "Yes," list the years.			
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.			
3a. Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?			
b. If "Yes," did it have excess business holdings in 2016 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 2016.)	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 2016?	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 propoganda, or otherwise attempt to influence legislation (section 4945(e))?  Yes  No

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

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

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions).  Yes  No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?  Yes  No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)?  Yes  No  
 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) N/A

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
ATCH 11		0.	0.	0.

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				

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



**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	0.
b	Average of monthly cash balances . . . . .	1b	374,964.
c	Fair market value of all other assets (see instructions). . . . .	1c	3,738,246.
d	<b>Total</b> (add lines 1a, b, and c) . . . . .	1d	4,113,210.
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	4,113,210.
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	4	61,698.
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3 Enter here and on Part V, line 4	5	4,051,512.
6	<b>Minimum investment return.</b> Enter 5% of line 5 . . . . .	6	202,576.

**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	202,576.
2a	Tax on investment income for 2016 from Part VI, line 5 . . . . .	2a	8,849.
b	Income tax for 2016 (This does not include the tax from Part VI) . . . . .	2b	
c	Add lines 2a and 2b . . . . .	2c	8,849.
3	Distributable amount before adjustments Subtract line 2c from line 1 . . . . .	3	193,727.
4	Recoveries of amounts treated as qualifying distributions . . . . .	4	
5	Add lines 3 and 4. . . . .	5	193,727.
6	Deduction from distributable amount (see instructions). . . . .	6	
7	<b>Distributable amount as adjusted</b> Subtract line 6 from line 5 Enter here and on Part XIII, line 1. . . . .	7	193,727.

**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	301,608.
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	<b>Qualifying distributions.</b> Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	301,608.
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	0.
6	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4 . . . . .	6	301,608.

**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 2015	(c) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI, line 7 . . . . .				193,727.
2 Undistributed income, if any, as of the end of 2016:				
a Enter amount for 2015 only . . . . .				
b Total for prior years 20 14 , 20 13 , 20 12 . . . . .				
3 Excess distributions carryover, if any, to 2016:				
a From 2011 . . . . .	268,786.			
b From 2012 . . . . .	59,439.			
c From 2013 . . . . .	142,618.			
d From 2014 . . . . .	37,631.			
e From 2015 . . . . .	102,679.			
f Total of lines 3a through e . . . . .	611,153.			
4 Qualifying distributions for 2016 from Part XII, line 4. ► \$ 301,608.				
a Applied to 2015, 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 2016 distributable amount . . . . .				193,727.
e Remaining amount distributed out of corpus . . . . .	107,881.			
5 Excess distributions carryover applied to 2016 . (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 . . . . .	719,034.			
b Prior years' undistributed income Subtract line 4b from line 2b . . . . .				
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 2015 Subtract line 4a from line 2a Taxable amount - see instructions . . . . .				
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017 . . . . .				NONE
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 2011 not applied on line 5 or line 7 (see instructions) . . . . .	268,786.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a . . . . .	450,248.			
10 Analysis of line 9:				
a Excess from 2012 . . . . .	59,439.			
b Excess from 2013 . . . . .	142,618.			
c Excess from 2014 . . . . .	37,631.			
d Excess from 2015 . . . . .	102,679.			
e Excess from 2016 . . . . .	107,881.			

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

NOT APPLICABLE

1 a. If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2016, enter the date of the ruling . . . . .

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

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

Table with columns: Tax year (a) 2016, (b) 2015, (c) 2014, (d) 2013, (e) Total. Rows include 2a, 2b, 2c, 2d, 2e, 3a, 3b, 3c, 3d, 3e, 3f, 3g, 3h, 3i, 3j, 3k, 3l, 3m, 3n, 3o, 3p, 3q, 3r, 3s, 3t, 3u, 3v, 3w, 3x, 3y, 3z.

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

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) )

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

NONE

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

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

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

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.

**Part XV** Supplementary Information *(continued)*

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a</b> <i>Paid during the year</i>				
ATCH 12				
<b>Total</b> . . . . . ▶ <b>3a</b>				301,608.
<b>b</b> <i>Approved for future payment</i>				
<b>Total</b> . . . . . ▶ <b>3b</b>				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Table with 5 main columns: (a) Business code, (b) Amount, (c) Exclusion code, (d) Amount, (e) Related or exempt function income. Rows include: 1 Program service revenue, 2 Membership dues and assessments, 3 Interest on savings and temporary cash investments, 4 Dividends and interest from securities, 5 Net rental income or (loss) from real estate, 6 Net rental income or (loss) from personal property, 7 Other investment income, 8 Gain or (loss) from sales of assets other than inventory, 9 Net income or (loss) from special events, 10 Gross profit or (loss) from sales of inventory, 11 Other revenue, 12 Subtotal, 13 Total.

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

Table with 2 columns: Line No., Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions). Row 1: N/A, NOT APPLICABLE.



# Schedule of Contributors

# 2016

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)

Name of the organization THE BIRCHROCK FOUNDATION	Employer identification number 04-3424527
--	--

### Organization type (check one)

#### Filers of:

#### Section:

Form 990 or 990-EZ

501(c)( ) (enter number) organization

4947(a)(1) nonexempt charitable trust not treated as a private foundation

527 political organization

Form 990-PF

501(c)(3) exempt private foundation

4947(a)(1) nonexempt charitable trust treated as a private foundation

501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

**Note:** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

#### General Rule

For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

#### Special Rules

For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3 % support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year. ▶ \$ \_\_\_\_\_

**Caution:** An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization **THE BIRCHROCK FOUNDATION**

Employer identification number

**Part I** Contributors (See instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	LAWRENCE J. LASSER C/O THE AYCO COMPANY ALBANY, NY 15014	\$ 1,000,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

ATTACHMENT 1

FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
INTEREST ON CREDIT BALANCE	16.	16.
INTEREST ON P/Y RECEIVABLE	81.	81.
TOTAL	<u>97.</u>	<u>97.</u>

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
HIGH VISTA II LP INTEREST	16,723.	16,723.
HIGH VISTA II LP DIVIDENDS	25,582.	25,582.
TOTAL	<u>42,305.</u>	<u>42,305.</u>

ATTACHMENT 3

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
OTHER PORTFOLIO INCOME HIGH VISTA K-1	425,799.	425,799.
OTHER INCOME HIGH VISTA K-1	77,934.	77,934.
TAX EXEMPT INCOME HIGH VISTA K-1	3,404.	0.
ORDINARY BUSINESS INCOME/LOSS HIGH VISTA	9,657.	9,657.
RENTAL INCOME/LOSS HIGH VISTA	-879.	-879.
ROYALTIES HIGH VISTA K-1	1,921.	1,921.
SECTION 1231 GAIN HIGH VISTA K-1	2,809.	2,809.
CANCELLATION OF DEBT HIGH VISTA K-1	228.	228.
SECTION 1256 HIGH VISTA K-1	-68,376.	-68,376.
<b>TOTALS</b>	<u>452,497.</u>	<u>449,093.</u>

ATTACHMENT 4

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
ACCOUNTING FEES	7,700.			
TOTALS	<u>7,700.</u>			

FORM 990PF, PART I - INTEREST EXPENSE

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
INVESTMENT INTEREST EXPENSE	4,658.	4,658.
TOTALS	<u>4,658.</u>	<u>4,658.</u>

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
FOREIGN TAXES HIGH VISTA K-1	2,190.	2,190.
TOTALS	<u>2,190.</u>	<u>2,190.</u>

FORM 990PF, PART I - OTHER EXPENSES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
OTHER PORT DED HIGH VISTA K-1	21.	21.
OTHER PORT DED 2% HIGH VISTA	29,567.	29,567.
OTHER DEDUCTIONS HIGH VISTA	47,753.	47,753.
SECTION 59(E)2)EX. HIGH VISTA	1,277.	1,277.
NONDEDUCTIBLE HIGH VISTA	1,176.	0.
STATE FILING FEES	70.	0.
SECTION 179 HIGH VISTA	3.	0.

TOTALS	<u>79,867.</u>	<u>78,618.</u>
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ATTACHMENT 8

FORM 990PF, PART II - RECEIVABLES DUE FROM OFFICERS, ETC.

~~BORROWER: LAWRENCE J LASSER~~

ORIGINAL AMOUNT: 6,489.  
 DATE OF NOTE: VAR  
 REPAYMENT TERMS: AS SOON AS POSSIBLE  
 PURPOSE OF LOAN: PAYMENT OF EXPENSES FOR A DISQUALIFIED PERSON  
 DESCRIPTION AND FMV OF CONSIDERATION: CASH \$2,417

BEGINNING BALANCE DUE .....	6,489.
ENDING BALANCE DUE .....	<u>2,387.</u>
ENDING FAIR MARKET VALUE .....	<u>2,417.</u>
TOTAL BEGINNING RECEIVABLES DUE FROM OFFICERS, ETC.	<u>6,489.</u>
TOTAL ENDING BOOK - RECEIVABLES DUE FROM OFFICERS, ETC.	<u>2,387.</u>
TOTAL ENDING FMV - RECEIVABLES DUE FROM OFFICERS, ETC.	<u>2,417.</u>

ATTACHMENT 9

FORM 990PF, PART II - OTHER INVESTMENTS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
HIGH VISTA II LP	3,230,502.	3,425,086.	3,667,656.
TOTALS	<u>3,230,502.</u>	<u>3,425,086.</u>	<u>3,667,656.</u>

ATTACHMENT 10

FORM 990PF, PART II - OTHER ASSETS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
HIGH VISTA K-1 DISTRIBUTION	250,000.	250,000.	250,000.
TOTALS	<u>250,000.</u>	<u>250,000.</u>	<u>250,000.</u>

**FORM 990-PF - PART IV  
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME**

Kind of Property		Description				P r D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		TOTAL SHORT-TERM COMMON TRUST FUND AND PARTNERSHIP, S CORPORATION, AND OTHER ESTATES OR TRUST GAIN OR LOSS					29,204.	
		TOTAL LONG-TERM COMMON TRUST FUND AND PARTNERSHIP, S CORPORATION, AND OTHER ESTATES OR TRUST GAIN OR LOSS					7,235.	
TOTAL GAIN (LOSS) .....							<u>36,439.</u>	

ATTACHMENT 11

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
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0.

0.

0.

MANAGER - AS NEEDED

LAWRENCE J. LASSER  
 C/O THE AYCO COMPANY, PO BOX 15014  
 ALBANY, NY 12212-5014

0.

0.

0.

MANAGER - AS NEEDED

MICHELLE LASSER  
 C/O THE AYCO COMPANY, PO BOX 15014  
 ALBANY, NY 12212-5014

0.

0.

0.

MANAGER - AS NEEDED

ETHAN LASSER  
 C/O THE AYCO COMPANY, PO BOX 15014  
 ALBANY, NY 12212-5014

0.

0.

0.

0.

0.

0.

0.

0.

0.

GRAND TOTALS

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 12

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

(SEE ATTACHED)

NONE

501 (C) (3)

FOR GENERAL PURPOSES

301,596.

FROM HIGH VISTA K-1

NONE

501 (C) (3)

FOR GENERAL PURPOSES

12

TOTAL CONTRIBUTIONS PAID

301,608

ATTACHMENT 12

**The Birchrock Foundation**  
**EIN: 04-3424527**  
**For the year ended December 31, 2016**

<b>Date</b>	<b>CK #</b>	<b>Recipient</b>	<b>Amount</b>
01/11/16	231	The Mary Byron Project, Louisville, KY	\$ 500.00
01/20/16	233	Winter Antiques Show, Bronx, NY	\$ 850.00
01/29/16	235	Vineyard Open Land Foundation, Vineyard Haven, MA	\$ 700.00
03/10/16	236	Medomak Valley Land Trust, Waldoboro, ME	\$ 500.00
03/02/16	237	Literary Lights, Boston, MA	\$ 1,000.00
03/18/16	238	New Hope for Women, Rockland, ME	\$ 6,250.00
03/17/16	239	American Friends of the Musee d'Orsay, New York, NY	\$ 2,500.00
04/05/16	240	WBUR, Boston, MA	\$ 300.00
04/18/16	241	New Hope for Women, Rockland, ME	\$ 6,250.00
04/18/16	242	Beth Israel Deaconess Medical Center, Boston, MA	\$ 10,000.00
04/26/16	243	Waldoborough Historical Society, Waldoboro, ME	\$ 500.00
05/17/16	245	Beth Israel Deaconess Medical Center, Boston, MA	\$ 850.00
05/16/16	246	Women for Women, Washington, DC	\$ 5,000.00
05/24/16	248	Lower East Side Tenement Museum, New York, NY	\$ 25,000.00
05/31/16	249	Sheriff's Meadow Foundation, Vineyard Haven, MA	\$ 1,100.00
06/24/16	250	Whitney Museum of Art, New York, NY	\$ 50,000.00
06/22/16	251	Combined Jewish Philanthropies, Boston, MA	\$ 25,000.00
08/09/16	253	New Hope for Women, Rockland, ME	\$ 6,250.00
08/10/16	254	Temple Beth Elohim, Wellesley, MA	\$ 5,145.00
08/11/16	252	The Martha's Vineyard Hebrew Center, Vineyard Haven, MA	\$ 1,150.00
08/18/16	256	Pan Mass Challenge, Needham, MA	\$ 100.00
08/22/16	258	Adas Yeshuron Synagogue, Rockland, ME	\$ 650.00
08/31/16	259	Temple Beth Elohim, Wellesley, MA	\$ 2,930.00
09/19/16	260	Museum of Fine Arts Patrons Program, Boston, MA	\$ 5,000.00
09/27/16	261	Martha's Vineyard Museum, Edgartown, MA	\$ 500.00
10/20/16	263	Museum of Fine Arts, Boston, MA	\$ 25,000.00
12/22/16	266	The Meadowbrook School, Weston, MA	\$ 50,000.00
12/12/16	267	New Hope for Women, Rockland, ME	\$ 6,250.00
12/21/16	268	Winnebago Alumni Association, Rockville, VA	\$ 500.00
12/23/16	269	Lower East Side Tenement Museum, New York, NY	\$ 28,333.00
12/30/16	271	Whitney Museum of Art, New York, NY	\$ 9,515.00
12/23/16	272	The Mary Byron Project, Louisville, KY	\$ 500.00
12/30/16	273	Beth Israel Deaconess Medical Center, Boston, MA	\$ 12,500.00
12/26/16	274	Medomak Valley Land Trust, Waldoboro, ME	\$ 2,425.00
12/27/16	275	Metropolitan Museum of Art, New York, NY	\$ 8,548.00
<b>Total</b>			<b>\$ 301,596.00</b>

*All contributions were made to the general purpose fund  
of public charitable organizations that were classified  
under section 501(c)(3) of the Internal Revenue Code.*

FORM 990-PF, PART XVI-A - ANALYSIS OF OTHER REVENUE

ATTACHMENT 13

<u>DESCRIPTION</u>	<u>BUSINESS CODE</u>	<u>AMOUNT</u>	<u>EXCLUSION CODE</u>	<u>AMOUNT</u>	<u>RELATED OR EXEMPT FUNCTION INCOME</u>
OTHER PORTFOLIO INCOME			14	425,799.	
OTHER INCOME			14	77,934.	
ORDINARY BUSINESS INCOME/LOSS			14	9,657.	
RENTAL INCOME/LOSS HIGH VISTA			16	-879.	
ROYALTIES			15	1,921.	
TAX EXEMPT INCOME			14	3,404.	
SECTION 1231 GAIN			14	2,809.	
SECTION 1256			14	-68,376.	
CANCELLATION OF DEBT			14	228.	

TOTALS  
452,497.