

Return of Private Foundation

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

Do 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.

For calendar year 2016 or tax year beginning

, and ending

Name of foundation The Tudor Foundation, Inc.		A Employer identification number 06-1502288
Number and street (or P O box number if mail is not delivered to street address) 1275 King Street	Room/suite	B Telephone number (203) 863-6700
City or town, state or province, country, and ZIP or foreign postal code Greenwich, CT 06831		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 517,716. (Part I, column (d) must be on cash basis.)	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

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))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received		2,703,798.		N/A	
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					
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10					
b Gross sales price for all assets on line 6a					
7 Capital gain net income (from Part IV, line 2)			0.		
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)					
11 Other income		-96,256.	0.		Statement 1
12 Total. Add lines 1 through 11		2,607,542.	0.		
13 Compensation of officers, directors, trustees, etc		0.	0.		0.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees Stmt 2		62,230.	37,338.		24,892.
b Accounting fees					
c Other professional fees					
17 Interest					
18 Taxes					
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses Stmt 3		1,173.	0.		1,173.
24 Total operating and administrative expenses. Add lines 13 through 23		63,403.	37,338.		26,065.
25 Contributions, gifts, grants paid		3,169,697.			3,169,697.
26 Total expenses and disbursements. Add lines 24 and 25		3,233,100.	37,338.		3,195,762.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		-625,558.			
b Net investment income (if negative, enter -0-)			0.		
c Adjusted net income (if negative, enter -0-)				N/A	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		
		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	949,532.	304,240.	304,240.
	2 Savings and temporary cash investments	234,269.	254,003.	213,476.
	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			
	7 Other notes and loans receivable ▶			
	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			
	b Investments - corporate stock			
	c Investments - corporate bonds			
	Liabilities	11 Investments - land, buildings, and equipment: basis ▶		
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other				
14 Land, buildings, and equipment: basis ▶				
Less: accumulated depreciation ▶				
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		1,183,801.	558,243.	517,716.
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				
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 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 and complete lines 27 through 31. ☒			
	27 Capital stock, trust principal, or current funds	1,183,801.	558,243.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	0.	0.	
30 Total net assets or fund balances	1,183,801.	558,243.		
31 Total liabilities and net assets/fund balances	1,183,801.	558,243.		

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	1,183,801.
2 Enter amount from Part I, line 27a	2	-625,558.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	558,243.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	558,243.

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				
b NONE				
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	
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). If (loss), enter -0- in Part I, line 8			3	

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

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see 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	5,028,343.	2,030,614.	2.476267
2014	3,498,859.	1,006,905.	3.474865
2013	4,660,589.	1,751,587.	2.660781
2012	2,854,041.	1,925,206.	1.482460
2011	2,003,684.	1,347,607.	1.486846
2 Total of line 1, column (d)			2 11.581219
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 2.316244
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5			4 1,396,172.
5 Multiply line 4 by line 3			5 3,233,875.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 0.
7 Add lines 5 and 6			7 3,233,875.
8 Enter qualifying distributions from Part XII, line 4			8 3,195,762.

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 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)		1	0.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b			
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		2	0.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		3	0.
3 Add lines 1 and 2		4	0.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		5	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-			
6 Credits/Payments:			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a	53.	
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	53.	
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		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	53.	
11 Enter the amount of line 10 to be: Credited to 2017 estimated tax	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)? 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.		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. \$ 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? If "Yes," attach a detailed description of the activities.		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? If "Yes," attach a conformed copy of the changes		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?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.	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? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <u>CT</u>		
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? If "No," attach explanation	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 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

Form 990-PF (2016)

Part VII-A Statements Regarding Activities (continued)

	Yes	No
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)		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)		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	X	
14 The books are in care of ► Tudor Investment Corporation Telephone no. ► (203) 863-6700 Located at ► 1275 King Street, Greenwich, CT ZIP+4 ► 06831		
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	N/A
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	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? ☐ 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 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? ☐ Yes ☒ No 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.) N/A	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. ►		
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 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.) N/A	3b	
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

Form 990-PF (2016)

2016.03010 The Tudor Foundation, Inc. TUDORFD1

Part VIII

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

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

[illegible]

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

9

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	N/A	
2		
3		
4		

Part IX-B

Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

Amount

1	N/A	
2		
All other program-related investments. See instructions.		
3		

Total. Add lines 1 through 3

0.

Form **990-PF** (2016)

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	939,850.
c	Fair market value of all other assets	1c	477,584.
d	Total (add lines 1a, b, and c)	1d	1,417,434.
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	1,417,434.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	21,262.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,396,172.
6	Minimum investment return. Enter 5% of line 5	6	69,809.

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	69,809.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	0.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	69,809.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	69,809.
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	69,809.

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	3,195,762.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	0.
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
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	3,195,762.
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	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	3,195,762.

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.

Form 990-PF (2016)

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				69,809.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011	1,936,304.			
b From 2012	2,757,781.			
c From 2013	4,573,010.			
d From 2014	3,448,514.			
e From 2015	4,926,812.			
f Total of lines 3a through e	17,642,421.			
4 Qualifying distributions for 2016 from Part XII, line 4: ▶ \$	3,195,762.			
a Applied to 2015, but not more than line 2a			0.	
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 2016 distributable amount				69,809.
e Remaining amount distributed out of corpus	3,125,953.			
5 Excess distributions carryover applied to 2016 (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:	20,768,374.			
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
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 2015. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				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)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	1,936,304.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	18,832,070.			
10 Analysis of line 9:				
a Excess from 2012	2,757,781.			
b Excess from 2013	4,573,010.			
c Excess from 2014	3,448,514.			
d Excess from 2015	4,926,812.			
e Excess from 2016	3,125,953.			

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
Statement 6			Charitable purposes	3,169,697.
Total			3a	3,169,697.
b Approved for future payment				
None				0.
Total			3b	0.

Form 990-PF (2016)

Part XVII

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

- | 1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | Yes | No |
|---|--|-----|----|
| a Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| (1) Cash | | | X |
| (2) Other assets | | | X |
| b Other transactions: | | | |
| (1) Sales of assets to a noncharitable exempt organization | | | X |
| (2) Purchases of assets from a noncharitable exempt organization | | | X |
| (3) Rental of facilities, equipment, or other assets | | | X |
| (4) Reimbursement arrangements | | | X |
| (5) Loans or loan guarantees | | | X |
| (6) Performance of services or membership or fundraising solicitations | | | X |
| c Sharing of facilities, equipment, mailing lists, other assets, or paid employees | | | X |
| 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. | | | |

[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
N/A		

**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 _____

► President

Title

May the IRS discuss this return with the preparer shown below (see instr. 1)?

☒ Yes ☐ No

**Paid
Preparer
Use Only**

Print/Type preparer's name

Preparer's signature

Date

Check ☐ if self-employed

PTIN

John A. Pontolillo

Firm's name ► **Sullivan & Cromwell LLP**

Firm's address ► 125 Broad Street
New York, NY 10004-2498

Firm's EIN ► 13-5420320

Phone no. (212) 558-4000

Form **990-PF** (2016)

Schedule B
(Form 990, 990-EZ,
or 990-PF)

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ 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.

OMB No. 1545-0047

2016

Name of the organization

Employer identification number

The Tudor Foundation, Inc.

06-1502288

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).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Name of organization

Employer identification number

The Tudor Foundation, Inc.06-1502288**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
<u>1</u>	<u>Tudor Group Holdings, LLC</u> <u>1275 King Street</u> <u>Greenwich, CT 06831</u>	\$ <u>2,703,798.</u>	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)

Name of organization

Employer identification number

The Tudor Foundation, Inc.06-1502288**Part II Noncash Property** (See instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Name of organization

Employer identification number

The Tudor Foundation, Inc.**06-1502288****Part III**

Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year (Enter this info once) ▶ \$

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

The Tudor Foundation, Inc.
EIN: 06-1502288
2016 Form 990-PF

STATEMENT 1

<u>Page 1, Part I, Line 11</u> <u>Other Income</u>	<u>Revenue</u> <u>Per Books</u>	<u>Net</u> <u>Investment</u> <u>Income</u>
Foreign Currency - Net exchange loss	<u>(\$96,256.)</u>	<u>(\$96,256.)</u>
Total Other Income	<u>(\$96,256.)</u>	<u>(\$96,256.)</u>

STATEMENT 2

<u>Page 1, Part I, Line 16a</u> <u>Legal Fees</u>	<u>Expenses</u> <u>Per Books</u>	<u>Net</u> <u>Investment</u> <u>Income</u>	<u>Disbursements</u> <u>for Charitable</u> <u>Purposes</u>
Sullivan & Cromwell LLP – Tax preparation, accounting, and management	<u>\$62,230.</u>	<u>\$37,338.</u>	<u>\$24,892.</u>
Total Legal Fees	<u>\$62,230.</u>	<u>\$37,338.</u>	<u>\$24,892.</u>

STATEMENT 3

<u>Page 1, Part I, Line 23</u> <u>Other Expenses</u>	<u>Expenses</u> <u>Per Books</u>	<u>Net</u> <u>Investment</u> <u>Income</u>	<u>Disbursements</u> <u>for Charitable</u> <u>Purposes</u>
Federal Express – Delivery & messengers	<u>\$1,173.</u>	<u>0.</u>	<u>\$1,173.</u>
Total Other Expenses	<u>\$1,173.</u>	<u>\$0.</u>	<u>\$1,173.</u>

The Tudor Foundation, Inc.
EIN: 06-1502288
2016 Form 990-PF

STATEMENT 4

Page 4, Part VII-A, Line 5
Statement Regarding Substantial Contraction

During the calendar year 2016 there was a substantial contraction, as defined in Regulations Sec. 1.6043-3(d), of The Tudor Foundation, Inc. The substantial contraction occurred as a result of the distribution during the tax year of more than 25% of the fair market value of the net assets of The Tudor Foundation, Inc. at the beginning of the tax year.

The distributions were not due to any plan of liquidation, dissolution or termination, and are not part of a series of related dispositions made during prior tax years.

A schedule listing the names of all recipients of assets is shown in Part XV, Line 3a.

The Tudor Foundation, Inc.
EIN: 06-1502288
2016 Form 990-PF

STATEMENT 5

Page 6, Part VIII, Line 1
List of Officers, Directors, etc.

<u>Name and Address</u>	<u>Title</u>	<u>Compensation</u>
Michael Riccardi c/o Tudor Investment Corporation 1275 King Street Greenwich, CT 06831	President/Treasurer Director	\$0.00
Steve N. Waldman c/o Tudor Investment Corporation 1275 King Street Greenwich, CT 06831	Secretary Director	0.00
Deborah F. Shabecoff c/o Tudor Investment Corporation 1275 King Street Greenwich, CT 06831	Assistant Secretary	0.00
Paul T. Jones, II c/o Tudor Investment Corporation 109 Royal Palm Way, Suite 2 Palm Beach, FL 33480	Director	0.00
Shaun King c/o Tudor Capital Europe LLP 10 New Burlington Street London, England W1S-3BE	Director	0.00

All officers and directors devote such time as is needed to perform the duties of their position with the Foundation.

The Tudor Foundation, Inc.
EIN: 06-1502288
2016 Form 990-PF

STATEMENT 6

Page 11, Part XV, Line 3a
Grants and Contributions Paid

A Better Chance of Wilton, Inc. Wilton, CT	\$10,000.
AmeriCares Free Clinics, Inc. Stamford, CT	40,000.
Angkor Hospital for Children, Inc. Putney, VT	30,000.
Anika Foundation Birchgrove, Australia	20,000.
Arc of Westchester Foundation Hawthorne, NY	50,000.
Boys & Girls Club of Greenwich, Inc. Greenwich, CT	40,000.
Boys & Girls Club of New Rochelle, Inc. New Rochelle, NY	40,000.
Bread for the City Washington, DC	25,000.
Bridgeport Public Schools Bridgeport, CT	60,000.
Bridges Outreach, Inc. Summit, NJ	10,000.
Center for Comprehensive Health Practice New York, NY	20,000.

The Tudor Foundation, Inc.
EIN: 06-1502288
2016 Form 990-PF

STATEMENT 6 (Cont'd)

Page 11, Part XV, Line 3a
Grants and Contributions Paid (Cont'd)

Centrepont Soho London, United Kingdom	\$37,198.
The Cerebral Palsy Alliance Sydney, Australia	40,000.
Charities Aid Foundation of America Alexandria, VA	303,000.
Child Guidance Center of Southern Connecticut, Inc. Stamford, CT	45,000.
The Children's Health Fund New York, NY	7,500.
The Children's Trust Surrey, United Kingdom	30,999.
The Children's Village Dobbs Ferry, NY	50,000.
City Squash, Inc. Bronx, NY	45,000.
Classroom, Inc. New York, NY	7,500.
Community Centers, Inc. Greenwich, CT	45,000.
Community Soup Kitchen and Outreach Morristown, NJ	5,000.

The Tudor Foundation, Inc.
EIN: 06-1502288
2016 Form 990-PF

STATEMENT 6 (Cont'd)

Page 11, Part XV, Line 3a

Grants and Contributions Paid (Cont'd)

Country Holidays for Inner City Kids Devon, United Kingdom	\$37,472.
Cristian Rivera Foundation Edgewater, NJ	30,000.
Crohn's & Colitis Foundation of America Fairfield/Westchester Chapter White Plains, NY	15,000.
Domus Kids, Inc. Stamford, CT	60,000.
Ex-Services Mental Welfare Society (Combat Stress) Surrey, United Kingdom	37,471.
Family Centers, Inc. Greenwich, CT	75,000.
Family & Children's Agency, Inc. Norwalk, CT	55,000.
The Federation of London Youth Clubs London, United Kingdom	37,199.
Food Bank for Westchester Elmsford, NY	60,000.
George Jackson Academy New York, NY	40,000.
GlassRoots, Inc. Newark, NJ	5,000.

The Tudor Foundation, Inc.
EIN: 06-1502288
2016 Form 990-PF

STATEMENT 6 (Cont'd)

Page 11, Part XV, Line 3a
Grants and Contributions Paid (Cont'd)

Glaucoma Foundation New York, NY	\$11,000.
Glenville Volunteer Fire Co. No. 1, Inc. Greenwich, CT	5,000.
Greenwich Hospital Greenwich, CT	20,000.
HCA Hospice Care Singapore	40,000.
Headstrong Project New York, NY	20,000.
Horizons National Student Enrichment Program, Inc. Westport, CT	66,500.
Hospital of St. John & St. Elizabeth London, United Kingdom	31,226.
Inspirica Stamford, CT	60,000.
Kennedy Center Trumbull, CT	30,000.
Kids in Crisis, Inc. Cos Cob, CT	75,000.
KIPP New York, Inc. Bronx, NY	50,000.

The Tudor Foundation, Inc.
EIN: 06-1502288
2016 Form 990-PF

STATEMENT 6 (Cont'd)

Page 11, Part XV, Line 3a
Grants and Contributions Paid (Cont'd)

Larchmont Mamaroneck Hunger Task Force Larchmont, NY	\$3,500.
Last Call Foundation, Inc. Cohasset, MA	2,000.
LifeBridge Community Services Bridgeport, CT	50,000.
Lighthouse of Broward County, Inc. Ft. Lauderdale, FL	15,000.
Literary Assistance Center New York, NY	2,500.
Literacy, Inc. New York, NY	10,000.
LOF Adaptive Skiers Sandy Hook, CT	5,000.
Martha's Table, Inc. Washington, DC	25,000.
Michael J. Fox Foundation for Parkinsons Research New York, NY	5,000.
Morry's Camp, Inc. White Plains, NY	4,000.
National Society for the Prevention of Cruelty to Children London, United Kingdom	24,799.

The Tudor Foundation, Inc.
EIN: 06-1502288
2016 Form 990-PF

STATEMENT 6 (Cont'd)

Page 11, Part XV, Line 3a
Grants and Contributions Paid (Cont'd)

Neighbors Link Northern Westchester Mount Kisco, NY	\$15,000.
Neighbors Link Stamford Stamford, CT	15,000.
New Covenant Center Stamford, CT	50,000.
Norwalk Grassroots Tennis, Inc. Norwalk, CT	1,000.
NYS Troopers PBA Signal 30 Fund, Inc. Albany, NY	20,000.
Operation Hope of Fairfield, Inc. Fairfield, CT	40,000.
Partnership With Children New York, NY	35,000.
Pathways, Inc. Greenwich, CT	15,000.
Person to Person, Inc. Darien, CT	60,000.
Port Chester Carver Center, Inc. Port Chester, NY	70,000.
The Prince's Trust London, United Kingdom	36,053.

The Tudor Foundation, Inc.
EIN: 06-1502288
2016 Form 990-PF

STATEMENT 6 (Cont'd)

Page 11, Part XV, Line 3a

Grants and Contributions Paid (Cont'd)

Project Renewal, Inc. New York, NY	\$3,000.
Puppies Behind Bars, Inc. New York, NY	15,000.
Rainbow Trust Children's Charity Surrey, United Kingdom	31,226.
REACH Prep, Inc. Stamford, CT	15,000.
Read Alliance New York, NY	25,000.
Renaissance Youth Center Bronx, NY	5,000.
Right to Play New York, NY	15,000.
The Robin Hood Foundation New York, NY	30,000.
Royal Hospital for Neuro Disability London, United Kingdom	31,226.
Samaritans Surrey, United Kingdom	37,355.
Shelter for the Homeless, Inc. Stamford, CT	50,000.

The Tudor Foundation, Inc.
EIN: 06-1502288
2016 Form 990-PF

STATEMENT 6 (Cont'd)

Page 11, Part XV, Line 3a

Grants and Contributions Paid (Cont'd)

SHINE: Support & Help In Education Surrey, United Kingdom	\$37,472.
Shooting Star CHASE Surrey, United Kingdom	31,226.
Social Services Association of Ridgewood and Vicinity Ridgewood, NJ	7,500.
St. Francis Food Pantries and Shelters New York, NY	3,500.
St. Joseph's School for the Deaf Children's Fund, Inc. Bronx, NY	25,000.
The Teak Fellowship, Inc. New York, NY	15,000.
Trinity Community Connections New York, NY	40,000.
The Trussell Trust Salisbury, United Kingdom	131,343.
21 Plus Foundation, Inc. Toms River, NJ	5,000.
United Way of Greenwich Greenwich, CT	50,000.
Waterside School, Inc. Stamford, CT	15,000.

The Tudor Foundation, Inc.
EIN: 06-1502288
2016 Form 990-PF

STATEMENT 6 (Cont'd)

Page 11, Part XV, Line 3a
Grants and Contributions Paid (Cont'd)

West Bergen Mental Healthcare Ridgewood, NJ	\$7,500.
Westchester Medical Center Foundation Valhalla, NY	50,000.
WestCOP Elmsford, NY	50,000.
Westhab Elmsford, NY	55,000.
The Westminster Roman Catholic Diocesan Trust London, United Kingdom	37,432.
YWCA of Greenwich Greenwich, CT	<u>25,000.</u>
Total Grants and Contributions Paid	<u>\$3,169,697.</u>