Form **990-PF**

Department of the Treasury
Internal Revenue Service

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*.

OMB No 1545-0052

2016

Open to Public Inspection

For calendar year 2016 or tax year beginning , and ending

Name of foundation: The Charles A Dana Foundation, Incorporated

A Employer identification number: 06-6036761

Number and street (or P O box number if mail is not delivered to street address): 505 Fifth Avenue — Room/suite: 6th Fl

B Telephone number (see instructions): 212-223-4040

City or town, state or province, country, and ZIP or foreign postal code: New York NY 10017

Foreign country name | Foreign province/state/county | Foreign postal code

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)* ▶ $ 221,254,250

J Accounting method ☐ Cash ☒ Accrual ☐ Other (specify) *(Part I, column (d) must be on cash basis.)*

Part I **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))*

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue 1	Contributions, gifts, grants, etc., received (attach schedule)				
2	Check ▶ ☐ if the foundation is **not** required to attach Sch B				
3	Interest on savings and temporary cash investments				
4	Dividends and interest from securities	638,411	638,411		
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	2,615,219			
b	Gross sales price for all assets on line 6a 16,372,870				
7	Capital gain net income (from Part IV, line 2)		2,615,219		
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) Statement 1	8,709,285	8,322,751		
12	**Total.** Add lines 1 through 11	11,962,915	11,576,381	0	
Operating and Administrative Expenses 13	Compensation of officers, directors, trustees, etc	1,118,968	268,850		845,682
14	Other employee salaries and wages	1,398,682	148,685		1,249,997
15	Pension plans, employee benefits	1,218,274	151,159		666,252
16a	Legal fees (attach schedule) Statement 1a	14,476			24,041
b	Accounting fees (attach schedule) Statement 1a	48,460	36,345		12,115
c	Other professional fees (attach schedule) Statement 1a	1,046,111	500,191		560,691
17	Interest				
18	Taxes (attach schedule) (see instructions) Statement 2	220,907	1,500		
19	Depreciation (attach schedule) and depletion Statement 3	39,784	3,978		
20	Occupancy	874,268	218,567		710,943
21	Travel, conferences, and meetings	80,846			84,846
22	Printing and publications	284,156			288,156
23	Other expenses (attach schedule) Statement 4	361,677	54,252		357,273
24	**Total operating and administrative expenses.** Add lines 13 through 23	6,706,609	1,383,527	0	4,799,996
25	Contributions, gifts, grants paid	8,106,982			8,229,607
26	**Total expenses and disbursements.** Add lines 24 and 25	14,813,591	1,383,527	0	13,029,603
27	Subtract line 26 from line 12:				
a	**Excess of revenue over expenses and disbursements**	-2,850,676			
b	**Net investment income** (if negative, enter -0-)		10,192,854		
c	**Adjusted net income** (if negative, enter -0-)			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	10,137,475	12,896,855	12,896,855
	2	Savings and temporary cash investments			
	3	Accounts receivable ▶ 7,262			
		Less· allowance for doubtful accounts ▶	1,008,994	7,262	7,262
	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) Statement 5	38,669,979	34,228,376	34,228,376
	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) Statement 6	170,048,106	173,475,539	173,475,539
	14	Land, buildings, and equipment: basis ▶ 410,438			
		Less accumulated depreciation (attach schedule) Statement 7 ▶ 234,238	215,984	176,200	176,200
	15	Other assets (describe ▶ See Attached Statement 8)	294,824	470,018	470,018
	16	**Total assets** (to be completed by all filers—see the instructions. Also, see page 1, item I)	220,375,362	221,254,250	221,254,250
Liabilities	17	Accounts payable and accrued expenses	330,047	293,419	
	18	Grants payable	5,050,875	4,928,250	
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ See Attached Statement 9)	4,287,306	4,688,927	
	23	**Total liabilities** (add lines 17 through 22)	9,668,228	9,910,596	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ [X] and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted	210,707,134	211,343,654	
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ [ ] and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	**Total net assets or fund balances** (see instructions)	210,707,134	211,343,654	
	31	**Total liabilities and net assets/fund balances** (see instructions)	220,375,362	221,254,250	

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	210,707,134
2	Enter amount from Part I, line 27a	2	-2,850,676
3	Other increases not included in line 2 (itemize) ▶ Change in Net Unrealized Appreciation in Investment	3	3,537,196
4	Add lines 1, 2, and 3	4	211,393,654
5	Decreases not included in line 2 (itemize) ▶ Change in Deferred Excise Taxes	5	50,000
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	211,343,654

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

2	Capital gain net income or (net capital loss) Statement 10 { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	2,615,219
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	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	13,912,556	228,202,799	0.060966
2014	13,521,619	238,840,561	0.056614
2013	14,403,590	232,737,644	0 061888
2012	21,012,269	228,781,996	0 091844
2011	15,841,123	239,391,997	0.066172

2	**Total** of line 1, column (d)	2	0 337484
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 067497
4	Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	216,565,306
5	Multiply line 4 by line 3	5	14,617,508
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	101,929
7	Add lines 5 and 6	7	14,719,437
8	Enter qualifying distributions from Part XII, line 4	8	13,029,603

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)			
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b		1	203,857
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	203,857
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-		5	203,857
6	Credits/Payments			
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a 340,000		
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	340,000
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	0
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶		10	136,143
11	Enter the amount of line 10 to be. **Credited to 2017 estimated tax** ▶ 136,143 **Refunded** ▶		11	0

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1b		X
	*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.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ______ **(2)** On foundation managers ▶ $ ______			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ______			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	2		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*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a	X	
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b	X	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		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?	6	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*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ CT, MD, NY			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	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*	9		X
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		X

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) . . Statement 11	11	X	
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ www dana org

14 The books are in care of ▶ Burton M Mirsky Telephone no ▶ 212 223 4040

Located at ▶ 505 Fifth Avenue, 6th Floor New York NY ZIP+4 ▶ 10017

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

			Yes	No
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?	16		X

See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ▶

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)?	1b		X
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
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 ▶ 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.)	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. ▶ 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? ☐ 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)*	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)*

			Yes	No
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		X
	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). statement 12			
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		X
	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	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Statement 13		1,118,968	181,420	

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

(a) Name and address of each employee paid more than $50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Statement 14	00	638,265	234,934	
	00	0		
	.00	0		
	.00	0		
	00	0		
Total number of other employees paid over $50,000 ▶				7

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

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

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
Cambridge Assoc 125 High Street, Boston, MA 02110-2112	Investment Advice	137,866
Guy McKhann, M D. 3400 North Charles St, Baltimore, MD 21228	Health Program Consultant	225,000
Eagle Management Advisors 700 Commodore Court, Unit 2728, Philadelphia, PA 19146	Investment Management	118,230
Wellington Trust Company 280 Congress Street, Boston, MA 02210	Investment Management	55,475
Silchester Intl Investors, Inc 780 Third Avenue, NY, NY 10017	Investment Management	110,352
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 Statement 15- Total Expenses - $4,799,996 12-1 Grants	1,801,145
2 12-2 Outreach- News Office	1,346,335
3 12-3 Outreach- Website	1,106,892
4 12-4 Outreach- Publications	545,624

Part IX-B Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 None	
2	
All other program-related investments See instructions 3	
Total. Add lines 1 through 3 ▶	0

Part X Minimum Investment Return (All domestic foundations must complete this part Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes:		
a	Average monthly fair market value of securities	1a	38,103,796
b	Average of monthly cash balances	1b	11,089,752
c	Fair market value of all other assets (see instructions)	1c	170,669,707
d	**Total** (add lines 1a, b, and c)	1d	219,863,255
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	219,863,255
4	Cash deemed held for charitable activities Enter 1½ % of line 3 (for greater amount, see instructions)	4	3,297,949
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	216,565,306
6	**Minimum investment return.** Enter 5% of line 5	6	10,828,265

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	10,828,265
2a	Tax on investment income for 2016 from Part VI, line 5	2a	203,857		
b	Income tax for 2016. (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	203,857
3	Distributable amount before adjustments Subtract line 2c from line 1			3	10,624,408
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	10,624,408
6	Deduction from distributable amount (see instructions)			6	
7	**Distributable amount** as adjusted. Subtract line 6 from line 5 Enter here and on Part XIII, line 1			7	10,624,408

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26	1a	13,029,603
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	13,029,603
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	13,029,603

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				10,624,408
2	Undistributed income, if any, as of the end of 2016:				
a	Enter amount for 2015 only			0	
b	Total for prior years: 20___, 20___, 20___				
3	Excess distributions carryover, if any, to 2016:				
a	From 2011 — 4,064,964				
b	From 2012 — 9,741,520				
c	From 2013 — 3,065,586				
d	From 2014 — 1,921,247				
e	From 2015 — 2,809,543				
f	**Total** of lines 3a through e	21,602,860			
4	Qualifying distributions for 2016 from Part XII, line 4: ▶ $ 13,029,603				
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				10,624,408
e	Remaining amount distributed out of corpus	2,405,195			
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	24,008,055			
b	Prior years' undistributed income. Subtract line 4b from line 2b		0		
c	Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d	Subtract line 6c from line 6b Taxable amount—see instructions				
e	Undistributed income for 2015 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 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)				
8	Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)	4,064,964			
9	**Excess distributions carryover to 2017.** Subtract lines 7 and 8 from line 6a	19,943,091			
10	Analysis of line 9.				
a	Excess from 2012 — 9,741,520				
b	Excess from 2013 — 3,065,586				
c	Excess from 2014 — 1,921,247				
d	Excess from 2015 — 2,809,543				
e	Excess from 2016 — 2,405,195				

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

1a 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)

	Tax year	Prior 3 years			
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	(e) Total
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					0
b 85% of line 2a					0
c Qualifying distributions from Part XII, line 4 for each year listed					0
d Amounts included in line 2c not used directly for active conduct of exempt activities					0
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					0
3 Complete 3a, b, or c for the alternative test relied upon.					
a "Assets" alternative test—enter: (1) Value of all assets					0
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					0
b "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					0
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)					0
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					0
(3) Largest amount of support from an exempt organization					0
(4) Gross investment income					0

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))

None

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

None

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

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

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

Statement 16

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

Statement 16

c Any submission deadlines·

Statement 16

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

Statement 16

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*				
see attached Statement 17				8,106,982
Total . . . . ▶ **3a**				8,106,982
b *Approved for future payment*				
Total . . . . ▶ **3b**				0

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue.					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities	900099		14	638,411	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory	900099		18	2,615,219	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue: a Misc	900099		01	859	
b Partnership Investments	900099		01	8,708,426	
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0		11,962,915	0

13 Total. Add line 12, columns (b), (d), and (e) . . . 13 11,962,915

(See worksheet in line 13 instructions to verify calculations)

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

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)

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

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

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements

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

b If "Yes," complete the following schedule.

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

Sign Here

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

▶ [signature] 10/24/2017 ▶ Exec. Vice President

Signature of officer or trustee Date Title

May the IRS discuss this return with the preparer shown below (see instructions)? ☐ Yes ☐ No

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN

Firm's name ▶ Firm's EIN ▶

Firm's address ▶ Phone no

Statement 1a

Part I, Line 11 (990-PF) - Other Income

	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income
		8,709,285	8,322,751	0
1	Partnership Income	8,708,426	8,708,426	
2	Adj to K-1 Inc- see Statement 1a- Inc per Final 2016 K-1's		-386,534	
3	Misc Income	859	859	

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

	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
		14,476	0	0	24,041
1	Epstein Becker, et al	13,524			23,089
2	King and Spalding	952			952

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

	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
		48,460	36,345	0	12,115
1	O'Connor Davies et al	44,495	36,345		8,150
2	Preferred Pension	3,965			3,965

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

	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
		1,046,111	500,191	0	560,691
1	Dr Mckhann	225,000			225,000
2	Dr Blakemore	50,000			50,000
3	Dr Magistetti	35,000			35,000
4	Dr Irani	10,000			10,000
5	Dr Jamison	37,500			37,500
6	Honoraria and Reviews- Less Than $5,000	74,600			74,600
7	Dr Treisman	12,500			12,500
8	Dr Albert	25,000			25,000
9	Cambridge Assoc	137,866	137,866		0
10	Silchester	110,352	110,352		0
11	Wellington	55,475	55,475		0
12	Eagle Management Advisors	118,230	118,230		0
13	BrandyWine Fund	44,426	44,426		0
14	JP Morgan Chase	13,208	13,208		0
15	Dr Boatman	10,000			10,000
16	Andrew Kahn	35,163			35,163
17	Freelancers/Misc	12,782			12,782
18	Treasury Partners	24,500	6,125		18,375
19	Cash to Accrual Adj-Misc	0			14,771
20	First Republic	14,439	14,439		0
21	Bridgeway Fund	70	70		0

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

		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
		220,907	1,500	0	0
	Description				
1	US Excise Tax	227,407			
2	US UBT	-8000			
3	NYS Tax	1,500	1,500		

Part I, Line 19 (990-PF) - Depreciation and Depletion

	Description	Date Acquired	Method of Computation	Asset Life	Cost or Other Basis	Beginning Accumulated Depreciation	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income
							39,784	3,978	0
1	Leasehold Improvements NYO	various	various	various	410,438	194,454	39,784	3,978	

Statement 4

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

	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
		361,677	54,252	0	357,273
1	Insurance	70,572	10,586		100,587
2	Computers	165,421	24,813		140,608
3	Dues/Subscription	7,484	1,123		6,361
4	Filing Fees	3,672	551		3,121
5	Prof Devel	12,702	1,905		10,797
6	Office Expense	46,481	6,972		48,756
7	Miscellaneous	13,594	2,039		11,555
8	Telephone-Fax-Copier	41,751	6,263		35,488

Charles A Dana Foundation
Form 990 PF-Part II
06-6036761
Year 2016

Statement 5

	Line	column a Book Value	column b Book Value	column c Fair Value
Corporate Stock	**10b**			
Equities- See Attached 5a		$12,566,899	$13,937,252	$13,937,252
Money Market Fund			0	0
Sub-total		12,566,899	13,937,252	13,937,252
Mutual Funds :				
Bridgeway Funds		6,412,144	0	0
Osterweis Strategic Income Fund		3,464,095	3,843,357	3,843,357
Vanguard Precious Metal & Mining Fund		2,783,511	4,193,181	4,193,181
Vanguard Energy Fund		4,608,850	6,137,904	6,137,904
Vanguard Short Term Treasury		6,045,245	6,116,682	6,116,682
Vanguard Developed Markets		2,789,235	0	0
Sub-total		26,103,080	20,291,124	20,291,124
Total Corporate and Mutual Funds Stock	10b	$38,669,979	$34,228,376	$34,228,376

Statement 5a
1 of 2

First Republic Trust Company
It's a privilege to serve you®

ACCOUNT STATEMENT

ACCOUNT NUMBER: XXXXXX1656
JANUARY 01, 2016 TO DECEMBER 31, 2016

INVESTMENT DETAIL

EQUITIES
COMMON STOCK

QUANTITY	DESCRIPTION	MARKET VALUE	YIELD TO MKT	COST BASIS
746.000	ALPHABET INC CAP STK CL C	575,777.72	0.00	251,914.49
550.000	ALPHABET INC CAP STK CL A	435,847.50	0.00	148,844.64
940.000	AMAZON.COM INC	704,877.80	0.00	277,293.24
1,300.000	ANADARKO PETROLEUM CORP PETROLEUM	90,649.00	0.29	102,902.93
16,300.000	BANK OF AMERICA CORP	360,230.00	1.36	284,863.69
4,300.000	BERKELEY W R CORP	285,993.00	0.78	97,727.98
7,725.000	BERKSHIRE HATHAWAY INC DEL CL B NEW	1,259,020.50	0.00	735,470.62
15,100.000	CITIGROUP INC COM	897,393.00	1.08	710,798.00
9,050.000	DISH NETWORK CORP CL A	524,266.50	3.45	444,331.47
4,600.000	ECOLAB INC COM	539,212.00	1.26	170,324.00
2,200.000	FIDELITY NATIONAL INFO SVCS INC	166,408.00	1.37	132,006.82
1,609.000	GOLDMAN SACHS GROUP INC	385,275.05	1.09	174,358.68
1,713.000	ILG INC	31,125.21	2.64	20,391.40
6,600.000	JPMORGAN CHASE & CO	569,514.00	2.23	393,107.94
6,355.000	MARRIOTT INTL INC CL A	525,431.40	1.45	430,079.17
15,900.000	MICROSOFT CORP	988,026.00	2.51	415,450.09
10,800.000	MONDELEZ INTL INC CLASS A	478,764.00	1.71	232,578.49
11,600.000	MORGAN STANLEY CO	490,100.00	1.89	158,557.59
8,800.000	NOBLE ENERGY INC	334,928.00	1.05	139,978.30
24,000.000	ORACLE CORP COM	922,800.00	1.56	744,611.71
4,200.000	PEPSICO INC	439,446.00	2.88	274,547.65
2,100.000	THERMO FISHER SCIENTIFIC INC	296,310.00	0.43	70,713.78
21,300.000	TWENTY FIRST CENTY FOX INC CL B	580,425.00	1.32	658,201.13
4,055.000	UNITEDHEALTH GROUP INC	648,962.20	1.56	88,270.52
TOTAL	COMMON STOCK	12,530,781.88	1.29	7,157,324.33

Statement 5a
- 2 of 2

First Republic Trust Company
It's a privilege to serve you®

ACCOUNT STATEMENT

ACCOUNT NUMBER: XXXXXX1656
JANUARY 01, 2016 TO DECEMBER 31, 2016

INVESTMENT DETAIL (CONTINUED)

QUANTITY	DESCRIPTION	MARKET VALUE	YIELD TO MKT	COST BASIS
ADR - COMMON STOCK				
7,300.000	AON PLC SHS CL A	814,169.00	1.18	262,583.66
TOTAL	ADR - COMMON STOCK	814,169.00	1.18	262,583.66
FOREIGN HELD EQUITIES				
17,798.000	LIBERTY GLOBAL PLC	528,600.60	0.00	288,742.10
3,009.000	LIBERTY GLOBAL PLC LILAC SHS CL C	63,700.53	0.00	53,509.74
TOTAL	FOREIGN HELD EQUITIES	592,301.13	0.00	342,251.84
TOTAL	EQUITIES	13,937,252.01	1.23	7,762,159.83

Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid End of Year
Clinical Neuroscience Research			$ 1,953,000.00	$ 700,000.00	$ (339,399.71)	$ (189,399.71)	$ 1,430,000.00	$ 1,073,000.00
Brigham and Women's Hospital	Boston	MA	$ 300,000 00				$ 150,000.00	$ 150,000 00
Brown University	Providence	RI			$ (10.72)	$ (10.72)		$ -
Burke Medical Research Institute	White Plains	NY	$ 125,000.00				$ 125,000.00	$ -
Duke University Medical Center	Durham	NC	$ 150,000 00				$ 150,000.00	$ -
Johns Hopkins University	Baltimore	MD		$ 100,000.00			$ 100,000 00	$ -
Johns Hopkins University School of Medicine	Baltimore	MD	$ 80,000 00				$ 80,000 00	$ -
Lankenau Institute for Medical Research	Wynnewood	PA	$ 125,000.00				$ 125,000.00	$ -
Massachusetts General Hospital	Boston	MA		$ 50,000.00				$ 50,000.00
Mass General Hospital/ Harvard Medical School	Boston	MA		$ 50,000.00				$ 50,000.00
New York Presbyterian Hospital	New York	NY		$ 300,000.00				$ 300,000.00
Rockefeller University	New York	NY		$ 200,000.00			$ 100,000.00	$ 100,000 00
University College London	London	*England	$ 125,000.00					$ 125,000 00
University of California, Davis	Davis	CA	$ 98,000.00					$ 98,000.00
University of California, Irvine	Irvine	CA	$ 150,000.00					$ 150,000 00
University of California, Los Angeles	Los Angeles	CA	$ 150,000 00				$ 150,000.00	$ -
University of California, San Diego	San Diego	CA	$ 150,000 00		$ (300,000.00)	$ (150,000.00)		$ -
University of California, San Francisco School of Medicine	San Francisco	CA	$ 150,000.00				$ 150,000.00	$ -
University of Oxford	Oxford	*England	$ 100,000.00				$ 100,000 00	$ -
University of Pennsylvania School of Medicine	Philadelphia	PA	$ 250,000 00				$ 200,000.00	$ 50,000.00
University of Virginia School of Medicine	Charlottesville	VA			$ (39,388.99)	$ (39,388.99)		$ -
General			$ 15,000.00	$ 2,137,000.00			$ 2,152,000.00	$ -
564 Park Avenue Preservation Foundation	New York	NY		$ 5,000.00			$ 5,000 00	$ -
American Civil Liberties Union Foundation	New York	NY		$ 10,000 00			$ 10,000.00	$ -
American College of Surgeons Foundation	Chicago	IL		$ 50,000 00			$ 50,000.00	$ -
American Repertory Theater	Cambridge	MA		$ 50,000.00			$ 50,000 00	$ -
American School of Classical Studies at Athens	Princeton	NJ		$ 5,000.00			$ 5,000.00	$ -
Anderson Ranch Arts Center	Snowmass Village	CO		$ 35,000.00			$ 35,000 00	$ -
Association for Frontotemporal Degeneration	Radnor	PA		$ 10,000.00			$ 10,000.00	$ -
Basilica of the National Shrine of the Immaculate Conception	Washington	D.C.		$ 5,000.00			$ 5,000.00	$ -
Bay Street Theater	Sag Harbor	NY		$ 5,000.00			$ 5,000.00	$ -
Bladder Cancer Advocacy Network	Palm Beach	FL		$ 10,000 00			$ 10,000.00	$ -
Boys' Club of New York	New York	NY		$ 7,500.00			$ 7,500.00	$ -
Boys & Girls Club of Palm Beach County	West Palm Beach	FL		$ 15,000.00			$ 15,000.00	$ -
Breast Cancer Research Foundation, Inc.	New York	NY		$ 105,000.00			$ 105,000 00	$ -
Bridgehampton Chamber Music Associates, Inc	NY	NY		$ 10,000.00			$ 10,000.00	$ -
Brunswick School	Greenwich	CT		$ 10,000.00			$ 10,000 00	$ -
Cambridge in America	New York	NY		$ 25,000.00			$ 25,000.00	$ -
Central Park Conservancy	New York	NY		$ 10,000.00			$ 10,000.00	$ -
Cold Spring Harbor Laboratory	Cold Spring Harbor	NY		$ 5,000 00			$ 5,000.00	$ -
College of Charleston School of Business	Charleston	SC		$ 20,000.00			$ 20,000.00	$ -
College of Physicians & Surgeons of Columbia University	New York	NY		$ 5,000 00			$ 5,000.00	$ -
Colorado Mountain College	Glenwood Springs	CO		$ 40,000.00			$ 40,000.00	$ -

Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid End of Year
Columbia Business School	New York	NY		$ 10,000 00			$ 10,000 00	$ -
Convent of the Sacred Heart	New York	NY		$ 10,000 00			$ 10,000.00	$ -
Cooper Union	New York	NY		$ 5,000.00			$ 5,000 00	$ -
Cristo Rey Network	Chicago	IL		$ 50,000.00			$ 50,000 00	$ -
Dana-Farber Cancer Institute	Palm Beach	FL		$ 25,000 00			$ 25,000.00	$ -
Dancesport Academy, Inc	West Palm Beach	FL		$ 10,000 00			$ 10,000 00	$ -
Dartmouth College	Hanover	NH		$ 5,000.00			$ 5,000.00	$ -
East Hampton Healthcare Foundation	East Hampton	NY		$ 5,000.00			$ 5,000.00	$ -
EBC High School for Public Service Bushwick	Brooklyn	NY		$ 15,000.00			$ 15,000.00	$ -
ELEM/Youth in Distress in Israel	New York	NY		$ 4,000.00			$ 4,000 00	$ -
Exploring the Arts, Inc.	New York	NY		$ 100,000 00			$ 100,000.00	$ -
Fordham University	New York	NY		$ 5,000.00			$ 5,000.00	$ -
Foundation Fighting Blindness	Columbia	MD		$ 25,000 00			$ 25,000 00	$ -
Foundation Milanollo	Lausanne	*France	$ 5,000 00	$ 5,000 00			$ 10,000 00	$ -
Fresh Air Fund	New York	NY		$ 5,000 00			$ 5,000 00	$ -
Greenwich Academy	Greenwich	CT		$ 25,000.00			$ 25,000.00	$ -
Guild Hall of East Hampton	East Hampton	NY		$ 10,000.00			$ 10,000 00	$ -
Harlem Academy	New York	NY		$ 35,000.00			$ 35,000.00	$ -
Harvard Art Museum	Cambridge	MA		$ 50,000.00			$ 50,000.00	$ -
Harvard Law School Fund	Cambridge	MA		$ 5,000.00			$ 5,000.00	$ -
Harvard-Mahoney Neuroscience Institute	Boston	MA		$ 15,000 00			$ 15,000 00	$ -
Harvard Scholars at Risk	Cambridge	MA		$ 20,000 00			$ 20,000 00	$ -
Hopital Albert Schweitzer Haiti	Pittsburgh	PA		$ 5,000 00			$ 5,000.00	$ -
Hospice Foundation of Palm Beach County, Inc.	Palm Beach	FL		$ 10,000.00			$ 10,000.00	$ -
Howard University	Washington	D.C.		$ 150,000.00			$ 150,000.00	$ -
Howard University Cancer Center	Washington	D.C		$ 1,000.00			$ 1,000.00	$ -
International Sephardic Education Foundation	New York	NY		$ 5,000.00			$ 5,000 00	$ -
International Women's Health Coalition	New York	NY		$ 10,000 00			$ 10,000.00	$ -
Investigative Project of Terrorism Foundation	Washington	D C.		$ 5,000.00			$ 5,000.00	$ -
Jefferson Market Garden	New York	NY		$ 5,000.00			$ 5,000.00	$ -
Joan & Sanford I Weill Medical College of Cornell University	New York	NY		$ 5,000 00			$ 5,000.00	$ -
Julliard School	New York	NY		$ 5,000.00			$ 5,000.00	$ -
Kids' Dreams	West Palm Beach	FL		$ 5,000.00			$ 5,000.00	$ -
Lincoln Center for the Performing Arts	New York	NY		$ 5,000.00			$ 5,000.00	$ -
Lincoln Center Theater	New York	NY		$ 6,000.00			$ 6,000.00	$ -
Loomis Chaffee School	Windsor	CT		$ 5,000.00			$ 5,000.00	$ -
Lyford Cay Foundation School	Princeton	NJ		$ 30,000.00			$ 30,000 00	$ -
Martha Graham Dance Company	New York	NY		$ 5,000 00			$ 5,000.00	$ -
Massachusetts General Hospital	Boston	MA		$ 10,000.00			$ 10,000.00	$ -
Mayo Clinic	Rochester	MN		$ 50,000 00			$ 50,000 00	$ -
Middle East Investment Initiative (MEII)	Washington	D.C.		$ 25,000.00			$ 25,000 00	$ -
MorseLife Foundation, Inc.	West Palm Beach	FL		$ 10,000 00			$ 10,000 00	$ -
Museum of Modern Art	New York	NY		$ 5,000.00			$ 5,000 00	$ -
National Gallery of Art	Washington	D C.		$ 20,000.00			$ 20,000.00	$ -
New Jewish Home	New York	NY		$ 5,000.00			$ 5,000.00	$ -

Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid End of Year
New York Presbyterian/Weill Cornell Medical Center	New York	NY		$ 5,000.00			$ 5,000.00	$ -
New York Stem Cell Foundation	New York	NY		$ 5,000.00			$ 5,000.00	$ -
Northside Center for Child Development, Inc.	New York	NY		$ 5,000 00			$ 5,000.00	$ -
Opthalmology Research Foundation	Miami	FL		$ 5,000.00			$ 5,000.00	$ -
Paley Center for Media	New York	NY		$ 5,000.00			$ 5,000.00	$ -
Palm Beach Civic Association	Palm Beach	FL		$ 6,000.00			$ 6,000.00	$ -
Palm Beach Infectious Disease Institute	West Palm Beach	FL		$ 5,000.00			$ 5,000.00	$ -
Pardee Rand Graduate School	Santa Monica	CA		$ 20,000.00			$ 20,000.00	$ -
Paul Taylor Dance Foundation, Inc.	New York	NY		$ 12,500.00			$ 12,500.00	$ -
Peconic Baykeeper, Inc.	Quogue	NY		$ 10,000 00			$ 10,000.00	$ -
Penland School of Crafts	Penland	NC		$ 10,000.00			$ 10,000 00	$ -
Priory in the United States of American of the Most Venerable Order of the Hospital of St. John	Washington	D.C.		$ 5,000 00			$ 5,000.00	$ -
Raymond K. Kravis Center for the Performing Arts	West Palm Beach	FL		$ 5,000 00			$ 5,000.00	$ -
Rockefeller University	New York	NY		$ 10,000.00			$ 10,000.00	$ -
Ronald Reagan Presidential Foundation	Simi Valley	CA		$ 10,000.00			$ 10,000 00	$ -
Rose Island Lighthouse Foundation	Newport	RI		$ 75,000.00			$ 75,000.00	$ -
Rosemont College	Rosemont	PA		$ 5,000.00			$ 5,000.00	$ -
Roxbury Latin School	West Roxbury	MA		$ 25,000.00			$ 25,000.00	$ -
Sacred Heart School	Lake Worth	FL		$ 5,000.00			$ 5,000 00	$ -
Sail Newport	Newport	RI		$ 20,000.00			$ 20,000.00	$ -
Saint Luke Institute	Silver Spring	MD		$ 5,000 00			$ 5,000.00	$ -
Skidmore College	Saratoga Springs	NY		$ 10,000.00			$ 10,000.00	$ -
Southampton Hospital	Southampton	NY		$ 5,000.00			$ 5,000.00	$ -
St. Bernard's School	New York	NY		$ 15,000 00			$ 15,000 00	$ -
St. Michael's Country Day School	Newport	RI		$ 75,000.00			$ 75,000.00	$ -
St Paul's School	Concord	NH		$ 10,000.00			$ 10,000.00	$ -
St. Thomas Choir School	New York	NY		$ 25,000.00			$ 25,000.00	$ -
Stamford Hospital	Stamford	CT		$ 5,000.00			$ 5,000 00	$ -
Syracuse University, Newhouse School of Communications	Syracuse	NY		$ 45,000 00			$ 45,000 00	$ -
The American Ireland Fund	New York	NY		$ 10,000.00			$ 10,000.00	$ -
The Aspen Institute	Washington	D.C.		$ 10,000.00			$ 10,000.00	$ -
The Brearley School	New York	NY		$ 25,000.00			$ 25,000.00	$ -
The Corning Museum of Glass	Corning	NY		$ 10,000.00			$ 10,000.00	$ -
The Council on Foreign Relations	New York	NY		$ 25,000 00			$ 25,000.00	$ -
The Green Vale School	Old Brookville	NY		$ 3,000.00			$ 3,000 00	$ -
The Hotchkiss School	Lakeville	CT		$ 5,000 00			$ 5,000 00	$ -
The Lymphoma Foundation	New York	NY		$ 5,000.00			$ 5,000.00	$ -
The Marc Lustgarten Pancreatic Cancer Foundation	Bethpage	NY		$ 5,000.00			$ 5,000 00	$ -
The New York Historical Society	New York	NY		$ 12,000.00			$ 12,000.00	$ -
The Preservation Foundation of Palm Beach	Palm Beach	FL	$ 10,000 00	$ 10,000.00			$ 20,000 00	$ -
The Reading Team, Inc.	New York	NY		$ 125,000.00			$ 125,000.00	$ -
The Society of the Four Arts	Palm Beach	FL		$ 10,000.00			$ 10,000.00	$ -

Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid End of Year
The Winsor School	Boston	MA		$ 50,000 00			$ 50,000.00	$ -
United Jewish Association/Federation of Jewish Philanthropies	New York	NY		$ 25,000.00			$ 25,000.00	$ -
United Religions Initiative	San Francisco	CA		$ 5,000.00			$ 5,000 00	$ -
University of Miami Bascom Palmer Eye Institute	Palm Beach Gardens	FL		$ 10,000 00			$ 10,000.00	$ -
University of Virginia	Charlottesville	VA		$ 25,000.00			$ 25,000 00	$ -
University of Virginia School of Law	Charlottesville	VA		$ 25,000.00			$ 25,000.00	$ -
Urban Glass, New York Contemporary Glass Center	Brooklyn	NY		$ 10,000.00			$ 10,000.00	$ -
Wheaton Arts and Cultural Center	Millville	NJ		$ 10,000.00			$ 10,000.00	$ -
Wyly Community Art Center	Basalt	CO		$ 5,000.00			$ 5,000 00	$ -
Year Up	Boston	MA		$ 15,000.00			$ 15,000.00	$ -
Employee Gift Matching Grant				$ 22,900 00			$ 22,900 00	$ -
American Cancer Society	New York	NY		$ 500.00			$ 500.00	$ -
Bowdoin College	Brunswick	ME		$ 100.00			$ 100.00	$ -
Brooklyn Animal Resources Coalition	Brooklyn	NY		$ 300 00			$ 300 00	$ -
Castlemans Awareness' Research Effort	Paso Robles	CA		$ 1,333.32			$ 1,333.32	$ -
Globalgiving Foundation, Inc	Washington	DC		$ 150.00			$ 150 00	$ -
Johns Hopkins University Bloomberg School of Public Health	Baltimore	MD		$ 1,666.68			$ 1,666.68	$ -
League of Women Voters Education Fund	Washington	DC		$ 200 00			$ 200 00	$ -
League of Women Voters NY State Education Fund	Albany	NY		$ 200.00			$ 200 00	$ -
League of Women Voters of the City of New York Education Fund	New York	NY		$ 1,000 00			$ 1,000 00	$ -
Maine Community Foundation	Ellsworth	ME		$ 1,000 00			$ 1,000 00	$ -
Mesivta Yeshiva Rabbi Chaim Berlin	Brooklyn	NY		$ 2,000.00			$ 2,000.00	$ -
Missionaries of the Poor USA Inc.	Atlanta	GA		$ 600.00			$ 600.00	$ -
National Multiple Sclerosis Society - NYC & Southern NY Chapter	New York	NY		$ 5,400.00			$ 5,400.00	$ -
Paul Taylor Dance Foundation, Inc	New York	NY		$ 400.00			$ 400 00	$ -
Peninsula Ambulance Corps	Blue Hill	ME		$ 800 00			$ 800 00	$ -
Queens - Long Island Basketball	Hillcrest	NY		$ 1,500 00			$ 1,500.00	$ -
St. Claire of Assisi Church	Bronx	NY		$ 100.00			$ 100.00	$ -
St. Labre Indian School Education Association	Ashland	MT		$ 100 00			$ 100.00	$ -
Still Mind Zendo	New York	NY		$ 2,400.00			$ 2,400.00	$ -
The Brearley School	New York	NY		$ 450.00			$ 450.00	$ -
Trustees of the University of Pennsylvania	Philadelphia	PA		$ 2,000 00			$ 2,000 00	$ -
University of Kentucky	Lexington	KT		$ 600 00			$ 600.00	$ -
Vanderbilt University	Nashville	TN		$ 600.00			$ 600 00	$ -
Human Immunology					$ (10,250.30)	$ (10,250.30)		$ -
Johns Hopkins University School of Medicine	Baltimore	MD			$ (309 80)	$ (309.80)		$ -
University of Cambridge Clinical School	Cambridge	*England			$ (9,940 50)	$ (9,940.50)		$ -
Neuroimaging			$ 2,050,000.00	$ 2,300,000.00	$ (3,990.01)	$ (3,990.01)	$ 1,250,000.00	$ 3,100,000.00
Baylor College of Medicine	Houston	TX		$ 200,000.00			$ 50,000 00	$ 150,000.00

Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid End of Year
Beth Israel Deaconess Medical Center	Boston	MA		$ 200,000.00			$ 50,000.00	$ 150,000 00
Boston College	Chestnut Hill	MA	$ 100,000.00				$ 100,000 00	$ -
California Institute of Technology	Pasadena	CA		$ 100,000.00				$ 100,000 00
Carnegie Mellon University	Pittsburgh	PA		$ 200,000 00				$ 200,000 00
Columbia University Medical Center	New York	NY	$ 100,000.00				$ 100,000 00	$ -
Duke University School of Medicine	Durham	NC		$ 200,000.00			$ 50,000.00	$ 150,000 00
Emory University	Atlanta	GA	$ 150,000.00				$ 50,000 00	$ 100,000 00
Hugo W. Moser Research Institute at Kennedy Krieger, Inc.	Baltimore	MD	$ 150,000 00				$ 50,000.00	$ 100,000 00
Joan & Sanford I.Weill Medical College of Cornell University	New York	NY	$ 100,000.00					$ 100,000.00
Memorial Sloan Kettering Cancer Center	New York	NY	$ 250,000 00	$ 200,000.00			$ 100,000 00	$ 350,000.00
Research Foundation for Mental Hygiene	New York	NY	$ 150,000.00				$ 50,000.00	$ 100,000 00
Stanford University School of Medicine	Stanford	CA	$ 350,000.00	$ 200,000.00			$ 150,000 00	$ 400,000 00
SUNY Stony Brook School of Medicine	Stony Brook	NY	$ 50,000 00	$ 200,000 00				$ 250,000 00
The Salk Institute for Biological Studies	La Jolla	CA		$ 200,000 00				$ 200,000 00
The University of Arizona College of Medicine	Tuscon	AZ	$ 100,000 00				$ 100,000.00	$ -
University of Pennsylvania	Philadelphia	PA	$ 150,000.00				$ 50,000.00	$ 100,000 00
University of Alabama School of Medicine	Birmingham	AL			$ (221 00)	$ (221 00)		$ -
University of California at Berkeley	Berkeley	CA	$ 150,000.00				$ 50,000 00	$ 100,000 00
University of Colorado Denver	Denver	CO	$ 100,000 00				$ 100,000 00	$ -
University of Rochester	Rochester	NY		$ 200,000.00			$ 50,000 00	$ 150,000.00
University of Southern California School of Medicine	Los Angeles	CA			$ (3,587.26)	$ (3,587.26)		$ -
UT Southwestern Medical Center	Austin	TX		$ 200,000 00			$ 50,000.00	$ 150,000.00
Yale University	New Haven	CT	$ 150,000.00	$ 200,000.00	$ (181.75)	$ (181.75)	$ 100,000.00	$ 250,000.00
Neuroimmunology					$ (9,636 91)	$ (9,636.91)		$ -
Washington University School of Medicine	St. Louis	MO			$ (9,538.86)	$ (9,538 86)		$ -
Yale University	New Haven	CT			$ (98.05)	$ (98 05)		$ -
Neuroscience-Related			$ 1,032,875 00	$ 580,200.00	$ (4,509.09)	$ (4,509.09)	$ 857,825 00	$ 755,250.00
American Association for the Advancement of Science	Washington	DC		$ 131,200.00	$ (4,509 09)	$ (4,509.09)	$ 131,200.00	$ -
American Museum of Natural History	New York	NY		$ 5,000.00			$ 5,000 00	$ -
Americans for Oxford, Inc.	New York	NY		$ 10,000 00			$ 10,000 00	$ -
Brooklyn Botanic Garden	Brooklyn	NY		$ 2,500.00			$ 2,500.00	$ -
Columbia University Medical Center	New York	NY		$ 150,000.00			$ 150,000.00	$ -
Dana-Farber Cancer Institute	Boston	MA	$ 700,000.00				$ 100,000.00	$ 600,000.00
Federation of European Neuroscience Societies (FENS)	Brussels	*Belgium		$ 35,000.00			$ 35,000.00	$ -
Frick Collection	New York	NY		$ 5,000.00			$ 5,000.00	$ -
International Neuroethics Society	Bethesda	MD		$ 104,000.00			$ 104,000.00	$ -
Johns Hopkins University	Baltimore	MD	$ 100,000.00				$ 100,000.00	$ -
Metropolitan Museum of Art	New York	NY		$ 3,000.00			$ 3,000 00	$ -
Metropolitan Opera Association	New York	NY		$ 2,500 00			$ 2,500.00	$ -
Morgan Library & Museum	New York	NY		$ 7,500.00			$ 7,500.00	$ -
Museum of Modern Art	New York	NY		$ 3,000.00			$ 3,000.00	$ -

Organization	City	State	Unpaid Beginning of Year	Appropriated During Year	Adjustments	Refunds	Paid During Year	Unpaid End of Year
Museum of the City of New York	New York	NY		$ 2,500.00			$ 2,500.00	$ -
Neue Galerie New York	New York	NY		$ 5,000 00			$ 5,000.00	$ -
New York Botanical Garden	New York	NY		$ 2,500.00			$ 2,500 00	$ -
New York Philharmonic	New York	NY		$ 5,000.00			$ 5,000 00	$ -
Nonprofit Coordinating Committee of New York	New York	NY		$ 25,000.00			$ 25,000 00	$ -
Research!America	Arlington	VA		$ 20,000.00			$ 20,000.00	$ -
Royal Society	London	*England	$ 232,875.00				$ 77,625.00	$ 155,250.00
Rubin Museum of Art	New York	NY		$ 5,000.00			$ 5,000 00	$ -
Society for Neuroscience (SfN)	Washington	DC		$ 10,000.00			$ 10,000 00	$ -
Solomon R. Guggenheim Foundation	New York	NY		$ 5,000 00			$ 5,000.00	$ -
The Brooklyn Museum	Brooklyn	NY		$ 2,500.00			$ 2,500 00	$ -
The Jewish Museum	New York	NY		$ 5,000.00			$ 5,000 00	$ -
The University of Texas at Austin	Austin	TX		$ 25,000.00			$ 25,000.00	$ -
Whitney Museum of American Art	New York	NY		$ 5,000 00			$ 5,000 00	$ -
Wildlife Conservation Society	Bronx	NY		$ 4,000.00			$ 4,000 00	$ -
Dana Alliance for Brain Initiatives Grant (Code POA)	New York	NY		$ 2,734,168.00			$ 2,734,168.00	
			$ 5,050,875.00	$ 8,474,768.00	$ (367,786.02)	$ (217,786.02)	$ 8,447,393.00	$ 4,928,250.00
			Appropriated During Year less Adjustments:			Paid During Year less Refunds:		
Grand Total			$ 8,106,981.98			$ 8,229,606.98		

All contributions are coded PC unless noted otherwise

* Equivalency determination made

The Charles A Dana Foundation

06-6036761 Statement 13A

Year 2016

Compensation reported in the 2016 Form 990PF of The Dana Alliance For Brain Initiatives, Inc. for directors and officers who are also directors and officers of the The Charles A. Dana Foundation, Incorporated that also received Compensation from The Dana Alliance for Brain Initiatives, is as follows:

Form 990-PF

List of Officers and Directors

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Edward F. Rover 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Chairman/President Director Hours - 9	$205,499	$21,747	$0
Burton M.Mirsky 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Secretary/Tresurer Hours- 9	80,679	19,983	0
Barbara E. Gill 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Vice President Hours- 32	284,115	72,237	0
LaSalle D. Leffall,Jr. MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	3,000	0	0
Steven E. Hyman, MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	3,000	0	0
	Totals	$576,293	$113,967	$0

The Charles A. Dana Foundation, Incorporated

Statement 14

06-6036761

Year 2016

Form 990-PF | Part VIII, Line 2

List of Highest Paid Employees

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Carolyn Asbury 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Snr Consultant 35 Hours	200,100	$41,380	0
James Rutt 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director, IT 24 Hours	$166,515	$68,637	0
Mary Lucas 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Grants Manager 35 Hours	108,300	$39,521	0
Patricia Mangini 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Dir Human Resources 32 Hours	83,400	$48,560	0
Brigida Gay 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Controller 32 Hours	79,950	$36,836	0
		$638,265	$234,934	$0

The Charles A. Dana Foundation, Incorporated **06-6036761**
2016

Part VIII Line 1 ***Statement 13***
List of Officers and Directors

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Edward F. Rover 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Chm and Pres. President/Director Hours - 26	$616,496	$65,242	$0
Burton M Mirsky 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Exec. VP, Treasurer, and Asst. Sect. Hours- 26	242,038	59,948	0
Barbara Rich (deceased) 505 Fifth Avenue 6th Floor New York, N Y. 10017	Exec. VP and Treasurer Hours- 26	174,866	44,863	0
Barbara E. Gill 505 Fifth Avenue 6th Floor New York, N.Y 10017	Exec. Vice President/ Asst. Treasurer Hours- 3	31,568	8,027	0
LaSalle D. Lefall, Jr. MD 505 Fifth Avenue 6th Floor	Director Hours-2	6,000	0	0
Steven E. Hyman, MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	6,000	335	0
Charles A. Dana III 505 Fifth Avenue 6th Floor New York, N Y. 10017	Director 2 Hours	6,000	335	0
Edward Bleier 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	875	0
Wallace Cook 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Secretary and Director 2 Hours	6,000	$335	$0
Hildegarde Mahoney 505 Fifth Avenue 6th Floor New York, N Y. 10017	Director 2 Hours	6,000	0	0

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

2016

Part VIII Line 1

Statement 13

List of Officers and Directors

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Ann McLaughlin Korologos 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	585	0
Herbert J. Siegel 505 Fifth Avenue 6th Floor New York, N.Y 10017	Director 2 Hours	6,000	875	0
Peter Nadosy 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	0	0
	Grand Total	$1,118,968	$181,420	$0

THE CHARLES A. DANA FOUNDATION, INCOROPORATED
EIN 06-6036761
2016
Statement 11

Part VII-A, Line 11: Statement of Information Regarding Ownership/Transfers to Controlled Entity

(A) Name of Controlled Entity:

Dana Alliance for Brain Initiatives, Inc

505 Fifth Avenue, 6^{th} Fl

New York, New York 10017

(B) Employer EIN: 06-1360140

(C) Description of Transfer: Cash Grant paid during the year

(D) Amount of Transfer: $2,734,168

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

		Cost or Other Basis	Accumulated Depreciation Beg of Year	Accumulated Depreciation End of Year	Book Value Beg of Year	Book Value End of Year	FMV End of Year
		410,438	194,454	234,238	215,984	176,200	176,200
1	Leasehold Improvements	410,438	194,454	234,238	215,984	176,200	176,200

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

	Asset Description	Book Value Beg of Year	Book Value End of Year	FMV End of Year
		294,824	470,018	470,018
1	Prepaid Expenses	68,618	122,312	122,312
2	Security Deposits	130,405	130,405	130,405
3	Prepaid Taxes	95,801	217,301	217,301

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

		4,287,306	4,688,927
	Description	Beginning Balance	Ending Balance
1	Deferred Taxes	550,000	600,000
2	Deferred Rent	368,485	305,290
3	Postretirement Benefit Obligation	3,368,821	3,783,637

The Charles A Dana Foundation, Incorporated 06-6036761 Statement 10

Capital Gains and Losses Summary

Part IV- Line 1a

2016

		Proceeds	Cost	Per F/S Gain (Loss)
Sales				
Bridgeway		6,884,759	3,748,446	3,136,313
Vanguars Devel Mkts		2,677,887	2,864,279	-186,392
Eagle Capital Gains		1,465,559	1,702,183	-236,624
Hintz Holman Liquidation		5,290,340	5,380,352	-90,012
Wellington CFT sales to pay fee		54,325	62,391	-8,066
	Capital Gains(Losses)	$16,372,870	$13,757,651	$2,615,219

The Charles A. Dana Foundation, Incorporated 06-6036761
Other Investments Statement 6
Part II- Line 13
2016

	column (a) Net Book Value 1-Jan	column (b) Net Book Value 31-Dec	column (c) Fair Market Value 31-Dec
Adage Capital	$24,456,247	$26,780,058	$26,780,058
Black Bear Offshore Fund - Offshore	0	17,843	17,843
Hintz , Holman & Rubillard - Jubilee Tax Exempt	5,195,061	0	0
Greenlight Capital Offshore	6,184,398	6,693,188	6,693,188
Davidson Kempner	12,014,300	12,898,811	12,898,811
King Street Capital	8,039,426	8,481,401	8,481,401
Adamas Opportunities L.P.	8,354,631	8,905,448	8,905,448
Adamas Partners L.P.	7,436,335	7,834,558	7,834,558
Forester Capital-B	6,672,556	6,595,363	6,595,363
Silchester	10,825,271	11,593,649	11,593,649
1607 Capital Partners	7,225,767	7,369,340	7,369,340
Newport Asia	6,392,730	6,311,319	6,311,319
Prince Street Opportunities	6,102,294	6,431,833	6,431,833
Prince Street Institutional Offshore Ltd	2,747,826	2,841,571	2,841,571
Abbott Capital Fund IV	2,468,949	1,453,477	1,453,477
Abbott Capital Fund V	2,723,913	1,820,861	1,820,861
Abbott Capital Fund VI	3,860,511	4,194,883	4,194,883
Commonfund Private Equity-VI	2,482,480	1,956,300	1,956,300
Commonfund Private Equity- VII	4,279,004	4,102,594	4,102,594
Commonfund International Partners VI	4,455,399	3,887,220	3,887,220
Commonfund Venture Partners VIII	6,321,420	5,481,492	5,481,492
Knightsbridge Venture Capital	4,114,723	3,456,153	3,456,153
Oak Hill Capital Partners-Bermuda	4,154	4,047	4,047
Oak Hill Capital Partners	19,315	13,639	13,639
Sovereign New Millenium Fund	46	0	0
TIFF Secondary Partners (TSP) TIFF I	141,619	62,859	62,859
TIFF Partners III L.P.	321,759	150,564	150,564
TIFF Partners IV L.P.	512,167	365,100	365,100
Aberdeen Real Assets (formerly Flag Real Assets)	1,814,643	1,601,918	1,601,918
Commonfund Capital Natural Resources IX	896,194	1,742,989	1,742,989
Harvest Fund MLP Income Fund	3,143,849	3,810,440	3,810,440
Brandywine Global Opportunistic Absolute Return	7,575,999	6,890,603	6,890,603
Wellington CTF Fund	5,231,199	5,648,955	5,648,955
Harvest Fund MLP Income Fund	0	101,769	101,769
Gold Bullion (Dana Publ)	8,033,918	8,684,969	8,684,969
Investment in Transit		5,290,340	5,290,340
Rounding	3	-15	-15
Total Other Investments	$170,048,106	$173,475,539	$173,475,539

The Charles A. Dana Foundation , Incorporated
2016 Index for List of Attachments
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Form	Description:
8868	Approved Extension Letter
926	Return by a US Transferor of Property to a Foreign Corporation
8896	Reportable Transaction Disclosure Statement

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