Form 990-PF Department of the Treasury Internal Revenue Service For calendar year 201 Name of foundation

EXTENDED TO NOVEMBER 15, 2017 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	alen	dar year 2016 or tax year beginning		, and endi	ng	_		
Nar	ne of	foundation				A Employer identification	number	
_T	ΗE	J.M. KAPLAN FUND, INC.	13-6090286					
		nd street (or P O box number if mail is not delivered to street	•	Ro	om/suite	B Telephone number		
_7	1 1	WEST 23RD STREET, 9TH F	LOOR			212-767-06	30	
		own, state or province, country, and ZIP or foreign p	ostal code			C If exemption application is p	ending check here	
		YORK , NY 10010 all that apply: Initial return	Initial return of a fo	ormer nublic char	itv	D 1. Foreign organizations	check here	
•	110010	Final return	Amended return	ormor pasmo onar	,	2 0	,	
_		Address change	Name change			2 Foreign organizations me check here and attach co	eting the 85% test mputation	
H C	_	type of organization: X Section 501(c)(3) ex				E If private foundation state	tus was terminated	
<u>_</u>			Other taxable private found			under section 507(b)(1)	(A), check here	
		rket value of all assets at end of year J Account	=	X Accrual	ĺ	F If the foundation is in a (
(ĭr		Part II, col (c), line 16) 0t 134,520,762.	her (specify)	hasis)		under section 507(b)(1)	(B), check here	
	rt I		(a) Revenue and	(b) Net inves	tment	(c) Adjusted net	(d) Disbursements	
[1,6		(The total of amounts in columns (b) (c) and (d) may not necessarily equal the amounts in column (a))	expenses per books	Income		income	for charitable purposes (cash basis only)	
	1	Contributions, gifts, grants, etc., received		.977 .778	À 11	N/A	{	
	2	Check X if the foundation is not required to attach Sch. B	, , , , , , , , , , , , , , , , , , ,		T A		, , ,	
	3	Interest on savings and temporary cash investments	328.	<u> </u>	328	PEACE	STATEMENT 1	
	4	Dividends and interest from securities	2,051,330.	2,049	, 259	LIVEORIVE	STATEMENT 2	
	5a	Gross rents			8	NOV 2 11 CONT		
	b	Net rental income or (loss)	·) A	1107 2 0 2017	10 ** *	
e	6a	Net gain or (loss) from sale of assets not on line 10 Gross sales price for all 11 CA2 A70	2,764,348.		33 7	GDENSUT		
Revenue	b	Gross sales price for all assets on line 6a 11,643,478.	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1		787.	"SAGDEN'S DI		
Re		Capital gain net income (from Part IV line 2)		700	707.	<u> </u>		
	8	Net short-term capital gain Income modifications						
	10a	Gross sales less returns and allowances	* * *		.Nr	. 🕷	7.	
		Less Cost of goods sold			* *			
		Gross profit or (loss)			. %	, , , , , , , , , , , , , , , , , , , ,		
	11	Other income	1,373,747.	1,268			STATEMENT 3	
	12	Total Add lines 1 through 11	6,189,753.	6,088				
	13	Compensation of officers directors, trustees etc	323,756.		,689.		257,044.	
	14	Other employee salaries and wages	470,026.		415.		395,047.	
Ś	15	Pension plans, employee benefits	212,843.	43	,051.		169,145.	
Expenses		Legal fees STMT 4	38,146.		0.		32,801. 53,701.	
ě		Accounting fees STMT 5 Other professional fees STMT 6	65,589. 776,452.	604	,269.		169,613.	
	G 17	Other professional fees STMT 6 Interest	597,273.		905.		0.	
and Administrative	18	Taxes STMT 7	103,027.		738.		0.	
ıstr		Depreciation and depletion	218,992.		0.			
Ē		Occupancy	150,888.	15,	,089.		135,799.	
Ad	21	Travel, conferences, and meetings	243,202.	4	724.		237,308.	
and	22	Printing and publications	59,837.		,967.		47,175.	
ğ	23	Other expenses STMT 8	1,836,746.	1,755	,580.		388,737.	
Operating	24	Total operating and administrative			40-		1 005 075	
be		expenses Add lines 13 through 23	5,096,777.	2,625	,427.		1,886,370.	
J	ì	Contributions, gifts, grants paid	6,458,375.	<u> </u>			6,722,551.	
	26	Total expenses and disbursements	11 555 153	2 625	427		9 600 021	
_	27	Add lines 24 and 25	11,555,152.	2,625	,44/•		8,608,921.	
		Subtract line 26 from line 12	-5,365,399.					
		Excess of revenue over expenses and disbursements Net investment income (if negative enter -0-)	3,303,333.	3,463	. 218			
		Adjusted net income (if negative, enter -0-)		3,203	,	N/A		
_			L	<u> </u>			Serm 000 DE (2016)	

623501 11-23-16 LHA For Paperwork Reduction Act Notice, see instructions

form **990-PF** (2016)

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2016.05000 THE J.M. KAPLAN FUND, INC.

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• For	m 990-PF (2016) THE J.M. KAPLAN FUND, I	NC.	13-	6090286 Page 2
ſΒ	art II Balance Sheets Allached schedules and amounts in the description	Beginning of year	End o	f year
Р	art II Balance Sheets column should be for end-of year amounts only	(a) Book Value	(b) Book Value	(c) Fair Market Value
	1 Cash - non-interest-bearing	500.	500.	500.
	2 Savings and temporary cash investments	5,416,751.	6,260,692.	
		3,410,731.	0,200,052.	0,200,032.
	3 Accounts receivable ► 33,361.			
	Less; allowance for doubtful accounts		33,361.	33,361.
	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 \(\) \	105 455	- 1 CO	
	Less' allowance for doubtful accounts 0.	187,457.	160,423.	160,423.
ţ	8 Inventories for sale or use			
Assets	Prepaid expenses and deferred charges	12,852.	26,784.	26,784.
Ä	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock		· · · · · · · · · · · · · · · · · · ·	
	c Investments - corporate bonds STMT 9	1,973,367.	1,980,156.	1,980,156.
		1,575,507.	1,500,150.	1,300,130:
	11 Investments land, buildings, and equipment basis	in a matik a about a manie man		
	Less accumulated depreciation			
	12 Investments - mortgage loans			
	13 Investments - other STMT 10	128,589,671.	123,751,047.	123,751,047.
	14 Land, buildings, and equipment basis ► 2,396,610.	1,803,391. 606,062.	· <u> </u>	1,780,464.
	Less accumulated depreciation STMT 11 > 677,149.	1.803.391.	1,719,461.	1.780.464.
	15 Other assets (describe ► STATEMENT 12)	606,062.	527,335.	527,335.
,	16 Total assets (to be completed by all filers - see the			327,333.
	, , ,	120 500 051	124 450 750	134 530 763
	instructions. Also, see page 1, item I)	138,590,051.		134,520,762.
	17 Accounts payable and accrued expenses	105,689.	171,376.	
	18 Grants payable	2,114,000.	1,849,823.	
SS	19 Deferred revenue			
Liabilities	20 Loans from officers directors, trustees, and other disqualified persons			
ą	21 Mortgages and other notes payable			- 3
تَ	22 Other liabilities (describe STATEMENT 13)	864,500.	919,569.	
:			32373031	* *
	23 Total liabilities (add lines 17 through 22)	3,084,189.	2 040 769	` ;
_		3,004,103.	2,940,768.	
	Foundations that follow SFAS 117, check here			,
w	and complete lines 24 through 26 and lines 30 and 31.			
lances	24 Unrestricted	135,505,862	131,518,991.	
<u>a</u>	25 Temporarily restricted			4
ä	26 Permanently restricted			•
Net Assets or Fund	Foundations that do not follow SFAS 117, check here			1
٦	and complete lines 27 through 31.			
ठ	•			
#	2/ Capital stock, trust principal, or current funds			ı
sse	28 Paid-in or capital surplus, or land, bldg., and equipment fund			
Ř	29 Retained earnings, accumulated income, endowment, or other funds			i
Š	30 Total net assets or fund balances	135,505,862.	131,518,991.	
_				
	31 Total liabilities and net assets/fund balances	138,590,051.	134,459,759.	1
=				
P	art III Analysis of Changes in Net Assets or Fund B	alances		
=	Table to the state of the state			
	Total net assets or fund balances at beginning of year - Part II, column (a), line	30		40= -0= 000
	(must agree with end-of-year figure reported on prior year's return)		[1]	135,505,862.
2	Enter amount from Part I, line 27a		2	-5,365,399.
3	Other increases not included in line 2 (itemize) UNREALIZED	GAIN ON INVES	TMENT 3	1,433,597.
	Add lines 1, 2, and 3		4	131,574,060.
	Decreases not included in line 2 (itemize) ► DEFERRED EXCIS	E TAX EXPENSE	5	55,069.
	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, co		6	131,518,991.
<u> </u>	Total net assets or fund balances at end of year (fille 4 fillings line 5) - Part II, Co	norm (u), mie 30	0	
				Form 990-PF (2016)

Part IV Capital Gains	and Lo	osses for Tax on In	vestmen	t 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.)				(p) }	low acqui Purchas Donatio	ired (d e n	c) Date acquired (mo , day, yr.)	(d) Date sold (mo, day, yr)	
1a SALE OF PUBLICLY TRADED SECURITIES				P	V	ARIOUS	VARIOUS		
b REALIZED GAINS	-SEE	ATTACHMENT	В			P	V	ARIOUS	VARIOUS
c									
d									
е	_				Ĺ				
(e) Gross sales price	(f)	Depreciation allowed (or allowable)		st or other basis expense of sale				(h) Gain or (lo (e) plus (f) minu	
a 66,834.				67,91	1.				-1,077.
b									2,771,864.
С									
d									
e									
Complete only for assets showing								iains (Col. (h) ga c), but not less ti	
(i) F.M.V. as of 12/31/69		(j) Adjusted basis as of 12/31/69		cess of col. (i) col (j), if any			LOI. (F	osses (from co	L (h))
a									-1,077. 2,771,864.
b									2,771,864.
С									
d									
е							_		
2 Capital gain net income or (net ca	pıtal loss) { If gain, also enter } If (loss), enter -0-			}	2			2,770,787.
3 Net short-term capital gain or (los	,		d (6):						
If gain, also enter in Part I, line 8,	column (c).			١١			NT /	7
If (loss), enter -0- in Part I, line 8 Part V Qualification U	nder	Section 4940(e) for	Paducad	LTay on Not	· Inv	3	nt Inco	N/	<u> </u>
(For optional use by domestic private		``		·	-		111111111		
(i or optional use by domestic private	iouiioaii	ons subject to the section 4	1340(a) lax ull	Het myestilent in	COIIIC	-,			
If section 4940(d)(2) applies, leave the	ns part bl	lank							
Was the foundation liable for the sect	tion 1012	tay on the distributable am	ount of any ve	oar in the hace nor	riod2				Yes X No
If "Yes," the foundation does not qual				•	100				1C3 [21] NO
1 Enter the appropriate amount in a					ntries				
(a) Base period years		(b) Adjusted qualifying dist		Net value of no	(c)		accate	Dist	(d) ribution ratio
Calendar year (or tax year beginnii	ng in)						(60): (8) divided by 60		
2015			9,622.				,294.		.089149
2014			2,661.				,146.		.053367
2013			3,665.				,350.	ļ	.059629
2012			3,165. 3,828.				,889. ,179.		.073029
2011		3,04	3,020.		. 3 4	, 193	,117.	l	.0/3023
2 Total of line 1, column (d)								2	.328004
3 Average distribution ratio for the	5-vear ha	se period - divide the total of	on line 2 hv 5	or by the number	of ve	ars		- +	- 3555001
the foundation has been in exister	•	•	,,, ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	or by the number	0. yo.	2.0		3	.065601
4 Enter the net value of noncharitab	le-use as	sets for 2016 from Part X	line 5					4 1	32,560,204.
		art A, I							
5 Multiply line 4 by line 3								5	8,696,082.
6 Enter 1% of net investment incon	ne (1% of	Part I, line 27b)						6	34,632.
7 Add lines 5 and 6								7	8,730,714.
O DIIB C CUIN DDA									0,,30,714.
8 Enter qualifying distributions from	n Part XII	, line 4						8	8,743,983.
If line 8 is equal to or greater than See the Part VI instructions	i line 7, cl	heck the box in Part VI, line	1b, and comp	olete that part usin	ig a 19	% tax rate			
									Form 990-PF (2016
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Part VII Excise Tax Based on Investment Income (Section 4940(a), 4940(a), or 4948 - see instructions)	Form 990-PF (2016) THE J.M. KAPLAN FUND, INC.			5090286		age 4
Date of ruling or determination letter: (attach copy of letter if necessary-see instructions) of Domestic fundations 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, cb. (b). 2 I favor diversion 311 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) 3 Add hers 1 and 2 5 Sabeths A (compend lax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) 5 Tax based on investment income. Subtract the d from line 3. If zero or less, enter -0- 5 Tax based on investment income. Subtract the d from line 3. If zero or less, enter -0- 5 Exempt foreign organizations - tax withheld at source: 6 Exempt foreign organizations - tax withheld at source: 1 Exp paid with application for extrement of time to line 16 from 8888) 6 Exempt foreign organizations - tax withheld at source: 1 Total credits and payments. Add lens 6s through 60 8 Extend any pensalty for underpayment of estimated tax. Check here [☑] if form 2220 is attached 9 Total credits and payments. Add lens 6s through 60 8 Exempt foreign organizations for extrement of the semination of the 10 the 10 total foreign and 6s is more than line 7, enter amount owed 10 Overpayment If then? I've more than the total of lines 5 and 6, fentire the amount owed 10 Overpayment If then? I've more than the total of lines 5 and 6, fentire the amount owed 10 Overpayment If then? I've more than the total of lines 5 and 6, fentire the amount owed 10 Overpayment If then? I've more than the total of lines 5 and 6, fentire the amount owed 10 Overpayment If then? I've more than the total of lines 5 and 6, fentire the amount owed 10 Overpayment If then? I've more than the total of lines 5 and 6, fentire the amount owed 11 Overpayment If then? I've more than the total of lines 5 and 6, fentire the	Language 1		948 -	see instruc	ction	15)
b Domestic foundations that meet the section 4947(a) repurrements in Part V, check here ► X and enter 1% of Part I, line 12 to 27b 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-) 3 Add lines 1 and 2 4 Subtilité A (income) tax (domestic section 4947(a) (1) trusts and taxable foundations only. Others enter -0-) 5 Tax based on mexternetin income. Subtract line 4 from line 3.1 travior of less, enter -0- 6 Credistr-Pyments 2 2 to 16 estimated tax pyments and 2015 overpayment credited to 2016 6 Expert of the page to praparations - 1 tax withheld at Source 6 Tax pad with application for extension of time to life (Firm 8958) 6 Exclusive withholding erroneously withheld 7 Total credits and payments. Add lines 1s through 64 8 Enter any penalty for underpayment of estimated tax. Check here X if Form 2220 is attached 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount ower in the 10 to be: Credited to 2017 estimated tax. ► 2017 estimated tax. ► 2018 (Statements Regarding Activities) 1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or interviene in any policial campaigs? 1b Did it spend more than \$1000 during the year (either directly) for political purposes (see instructions for the definition)? 1// If the answers ''Yes' To Tax or 1b, attach a definition of the activities and complete service of any maternals published or distributed by the foundation making the year (or the activities) of the activities and confidence or distributed by the foundation makes given them of \$1,000 or more duming the year? 1// Yes, "attach a definition for the participate or materials published or distributed by the foundation makes given them of \$1,000 or more duming the year? 1// Yes, "attach a definition for the year? 5 Wes there a legislatio						
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 Tax under section 51 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) 3 Add lines 1 and 2 3 Add lines 1 and 2 3 Add lines 1 and 2 3 Subhite A (notione) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- 5 Tax based on investment income. Subtract line 4 from line 9. If zero or less, enter -0- 5 Exempt foreign organizations -1- staw withheld at source 6 Tax paid with application for extension of time to file (Form 8858) 6 Exempt foreign organizations -1- staw withheld at source 6 Tax paid with application for extension of time to file (Form 8858) 6 Exempt foreign organizations -1- staw withheld at Subtraction of time to file (Form 8858) 6 Exempt foreign organizations -1- staw withheld at Subtraction of time to file (Form 8858) 6 Exempt foreign organizations -1- staw withheld at Subtraction of time to file (Form 8858) 6 Exempt foreign organizations -1- staw withheld at Subtraction of time to file (Form 8858) 6 Exempt foreign organizations -1- staw withheld at Subtraction of time to file (Form 8858) 6 Exempt foreign organizations -1- staw with a file organization or extension of time to file (Form 8858) 7 Total credets and payments. Add of its more than line 10 file (Form 8858) 8 Exempt foreign organizations -1- stable organization org						• •
a. All Other domestic foundations enter 2% of the 27b Exempt foreign organizations enter 4% of Part I, lime 12, col. (b). 2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) 3 3 34, 632. 4 Sublitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) 5 Tax based on investment income. Subtract line 4 from line 3, If zero or less, enter -0- 5 Tax based on investment income. Subtract line 4 from line 3, If zero or less, enter -0- 6 Circlats/Payments 2 2016 exhanted tax payments and 2015 overpayment circlated to 2016 5 Exempt foreign organizations - tax withhelds at source 6 Tax paid with application for extension of tune to his (Form 8868) 6 Exerce any parents. Add lines 5 air trough 6d 7 Total credits and payments. Add lines 5 air trough 6d 8 Enter any penalty for underspayment of estimated tax. Check here [X] if Form 2220 is attached 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount ower 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount ower 10 Enter the amount of line 10 to be: Credited to 2017 estimated tax. ► 218, 077. Refunded ► 11 11 Enter the amount of line 10 to be: Credited to 2017 estimated tax. ► 218, 077. Refunded ► 11 12 During the tax year, old the foundation attempt to millinene any national, state, or local legistation or did it participate or intervene in any policical campagin? 1 If the nanswer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed for the foundation in comection with the activities 1 During the foundation. ► S 1 O. (2) On boundation managers. ► O. 2 Attach the statement required by General Instruction 7 of the Achieves 3 In the foundation have circlated becomes gross income of \$1,000 or more duming the year? 1 Yes, "attach the statement required by General Instruction 7 or Mr hinch 4 fair yound yound yound yound yound yound yound yound yo	b Domestic foundations that meet the section 4940(e) requirements in Part V, check here	► X and enter 1%	1	34	.,6.	32.
2 0. 3 3 4, 632.3 3 4	of Part I, line 27b	i				
3 34,632. 4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- 6. Credist/Payments 2 06 Credist/Payments 3 34,632. 6 Credist/Payments 2 06 Credist/Payments 2 06 Credist/Payments 2 06 Credist/Payments 3 34,632. 6 Credist/Payments 2 06 Credist/Payments 2 06 Credist/Payments 2 0 Credist/Payments 3 34,632. 6 Credist/Payments 2 0 Credist/Payments 2 0 Credist/Payments 3 34,632. 6 Credist/Payments 4 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4%	6 of Part I, line 12, col. (b).				
4 Subtilité A (income) lax (domesties escion 4947(p)(1) trusts and taxable foundations only. Dithers enter-0-) 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter-0- 6 Circitis/Pyments 2 Dité estimated tax payments and 2015 overpayment credited to 2016 6 Exempt foreign organizations - tax withheld at source 6 Tax paid with application for extension of time to file (Form 8868) 6 d 8 Exempt foreign organizations - tax withheld at source 6 Tax paid with application for extension of time to file (Form 8868) 6 d 8 Exempt foreign organizations - tax withheld at source 7 Total credits and payments. Add lines 6a through 6d 8 Enter any penalty for underpayment of estimated tax. Check here □X If form 2220 is attached 9 Tax due. If the total of lines 3 and 8 is more than the cytate of the total of lines 3 and 8, enter the amount owerpaid 10 Overpayment If line 7 is more than the total of lines 5 and 8, enter the amount overpaid 10 Verpayment If line 7 is more than the total of lines 5 and 8, enter the amount overpaid 10 Tentry Incomposition of the form 2000 form the cytal of the spend more than \$100 during the year (either directly or indirectly) or political purposes (see instructions for the definition)? 11 If the answer is "Yes" to 1 act or 15, attach a detailed description of the activities 1 bid is spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? 1 If the answer is "Yes" to 1 act or 15, attach a detailed description of the activities 2 bid the foundation hie Form 1120-P01 for this year? 2 bid the foundation hier form 1120-P01 for this year? 3 has the foundation engaged in any activities that have not previously been reported to the IRS? 1 Yes, "attach a detailed description of the activities 3 Has the foundation engaged in any activities that have not previously reported to the IRS? 1 Yes, "attach a detailed description of the activities 4 bid the isondation have at least \$5,000 in assets at any time d	2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Of	thers enter -0-)	2			
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- 6. Credits/Psyments 2 2016 estimated tax payments and 2015 overpayment credited to 2016 b Exempt foreign organizations - tax withheld at source c Tax paid with application for extension of time to file (Form 8668) d Backup withholding erroneously withheld 7 Total credits and payments. Add lines 6 at through 6d 8 B 5 Enter any pearthy for underpayment of estimated tax. Check here □ If I form 2220 is attached 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed 10 Overpayment I file 18 Tax because the sent the amount owed to the line 18 to the sent ower than 5 to the form 8668 to the 10 to 2017 estimated tax because the sent tax because the	3 Add lines 1 and 2		3	34	.,6	32.
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	To the any persons deceme substantial contributors during the tax year? If "Yes," attach a schedu	ute listing their names and addresses			-PF	

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Pa	irt VII-A Statements Regarding Activities (continued)			
		T	Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of			ĺ
	section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		Х
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		Х
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
	Website address ▶ WWW.JMKFUND.ORG	ا		·
14	The books are in care of ► WILLIAM FALAHEE Telephone no ►212-76	7-0	630	
	Located at ▶ 71 WEST 23RD STREET, 9TH FLOOR, NEW YORK, NY ZIP+4 ▶10			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here		_	T
	and enter the amount of tax-exempt interest received or accrued during the year	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,		Yes	No
	securities, or other financial account in a foreign country?	16		Х
	See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the		-{i	6. 1
	foreign country		,25.	Andrew Commen
Pá	rt 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.	3 0	Yes	No
1a	During the year did the foundation (either directly or indirectly):	(A)	Ţ\$ -:	× 1
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?			× :1
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from)			
	a disqualified person? Yes X No		4 4 4	2
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? [X] Yes [] No	*		27 mm
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	43	(V. (1)	Á
	(5) Transfer any income or assets to a disqualified person (or make any of either available	34"	2	24.70 dg
	for the benefit or use of a disqualified person)?	ish.		
	(6) Agree to pay money or property to a government official? (Exception Check "No"		٠,٠	
	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.)	19	, am	Ø i
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations	L.	<u></u>	ك
	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		1	, mg
0	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected	******	26a	X
	before the first day of the tax year beginning in 2016?	1c	77	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)):	*	33	
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 X No	*	ž*	5
	· · · · · · · · · · · · · · · · · · ·	-	×, -	
	If "Yes," list the years \(\) Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect	1 1	,	
E			4,7	,
	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			i
	,	2b		<u> </u>
	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here			2.3
3:	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time			
56	during the year?			
	of "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after			
٠	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		} <i>-</i>
A	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
	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	-	$\overline{\mathbf{x}}$
_		rm 99 0)-PF	

orm 990-PF (2016) THE J.M. KAPLAN FUND, IN			13-60902	86 Page 6
Part VII-B Statements Regarding Activities for Which F	-orm 4720 May Be F	sequirea (contin	ued)	
5a During the year did the foundation pay or incur any amount to	A045(a)\2		es X No	
(1) Carry on propaganda, or otherwise attempt to influence legislation (section			S LAS NO	1 1
(2) Influence the outcome of any specific public election (see section 4955), o	r to carry on, directly or indire		es X No	
any voter registration drive?	_		es X No	1 1
(3) Provide a grant to an individual for travel, study, or other similar purposes'		14	es LALINO	
(4) Provide a grant to an organization other than a charitable, etc., organization	n described in section	(.		1 1
4945(d)(4)(A)? (see instructions)			es 🔲 No	
(5) Provide for any purpose other than religious, charitable, scientific, literary,	or educational purposes, or f		F	, ,
the prevention of cruelty to children or animals?			es X No	
b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify und		n Regulations		المانيوساوي
section 53 4945 or in a current notice regarding disaster assistance (see instru			. — — H-	5b X
Organizations relying on a current notice regarding disaster assistance check h				
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption fr	4		[÷	
expenditure responsibility for the grant?	E STATEMENT 1	4 X Y	es 🔲 No 🎉	
If "Yes," attach the statement required by Regulations section 53 4945	5-5(d)		× × × × × × × × × × × × × × × × × × ×	
6a Did the foundation, during the year, receive any funds, directly or indirectly, to	pay premiums on			
a personal benefit contract?		Ye	es 🗓 No 🔓	1 2
b Did the foundation, during the year, pay premiums, directly or indirectly, on a p	ersonal benefit contract?		L	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 s	helter transaction?	Ye	es 🗓 No 🗓	
b If "Yes," did the foundation receive any proceeds or have any net income attribu	table to the transaction?		N/A	7b
Part VIII Information About Officers, Directors, Trust	ees, Foundation Ma	nagers, Highly	У	
Paid Employees, and Contractors				
1 List all officers, directors, trustees, foundation managers and their	compensation			
(-) Name and address	(b) Title, and average hours per week devoted	(c) Compensation (If not paid,	(d) Contributions to employee benefit plans and deterred	(e) Expense account, other
(a) Name and address	to position	enter -0-)	and deterred compensation	allowances
SEE ATTACHMENT C				
71 WEST 23RD STREET 9TH FLOOR		}		
NEW YORK, NY 10010	0.00	323,756.	55,843.	0.
		[
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		ł	}	
		E		
]		
2 Compensation of five highest-paid employees (other than those inc	luded on line 1). If none,	enter "NONE."	·————	
4 Name and address of and analysis and analysis of 50,000	(b) Title, and average		(d) Contributions to employee benefit plans and deferred compensation	(e) Expense
(a) Name and address of each employee paid more than \$50,000	hours per week devoted to position	(c) Compensation	and deterred	account, other allowances
WILLIAM FALAHEE - 71 WEST 23RD	CONTROLLER			
STREET 9TH FLOOR, NY, NY 10010	40.00	136,853.	58,181.	0.
ANGELA CARABINE - 71 WEST 23RD	GRANTS MANAGE			
STREET 9TH FLOOR, NY, NY 10010	40.00	103,789.	46,230.	0.
	PROGRAM DIREC		- ,	
9TH FLOOR, NY, NY 10010	35.00	98,367.	16,122.	0.
	PROGRAM ASSOC			
9TH FLOOR, NY, NY 10010	35.00	79,026.	13,771.	0.
7111 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	33.00	12,020.	13,,,1	- •
		[
February of other employees and ever \$50,000	L	<u> </u>	<u> </u>	<u> </u>
Total number of other employees paid over \$50,000		·		990-PF (2016)
			FUIII	JJU-F I (2010)

Form 990-PF (2016) THE J.M. KAPLAN FUND, INC.		090286	Page 7
Part VIII Information About Officers, Directors, Trustees, Foundat Paid Employees, and Contractors (continued)	ion Managers, Highly		
3 Five highest-paid independent contractors for professional services. If none, enter	"NONE."		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Comp	ensation
BRANDYWINE MANAGEMENT CO.			
880 THIRD AVENUE, NEW YORK, NY 10022	INVESTMENT SERVIC	CES 563,	934.
SOCIAL STRATEGY ASSOCIATES, INC 4615	INNOVATION PRIZE		
CENTER BLVD #2407, LONG ISLAND CITY, NY 11109	CONSULTANT	96,	000.
ROBERTA GRATZ	WRITING THE HISTO		
25 CENTRAL PARK WEST, NEW YORK, NY 10023	OF THE FUND	50,	000.
	-		
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 statistic number of organizations and other beneficiaries served, conferences convened, research papers produced to the conference of the convened of th	cal information such as the iced, 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 li	nes 1 and 2	Amount	
1 N/A			
2			
All other program-related investments See instructions.			
3			
	l		

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Total. Add lines 1 through 3

P	art X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations	ndation	s, see instructions)
1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes.		
а	Average monthly fair market value of securities	1a	125,920,756.
b	Average of monthly cash balances	1b	8,441,605.
С	Fair market value of all other assets	1c	216,526.
d	Total (add lines 1a, b, and c)	1d	134,578,887.
е	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	134,578,887.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	2,018,683.
5	Net value of noncharitable-use assets Subtract line 4 from line 3. Enter here and on Part V, line 4	5	132,560,204.
6	Minimum investment return. Enter 5% of line 5	6	6,628,010.
P	art XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations are	d certair	1
	foreign organizations check here and do not complete this part.)		
1	Minimum investment return from Part X, line 6	1	6,628,010.
2a	Tax on investment income for 2016 from Part VI, line 5 2a 34,632.	, ,	
b	Income tax for 2016. (This does not include the tax from Part VI.)	Í	
C	Add lines 2a and 2b	2c	34,632. 6,593,378.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	6,593,378.
4	Recoveries of amounts treated as qualifying distributions	4	30,000.
5	Add lines 3 and 4	5	6,623,378.
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	6,623,378.
P	art XII Qualifying Distributions (see instructions)		
1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
а	Expenses, contributions, gifts, etc - total from Part I, column (d), line 26	1a	8,608,921.
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	135,062.
3	Amounts set aside for specific charitable projects that satisfy the	(g) *	
а	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	8,743,983.
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	34,632. 8,709,351.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	8,709,351.
	Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation (4940(e) reduction of tax in those years.	pualifies	for the section

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2015	(¢) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI,				6 622 279
line 7				6,623,378.
2 Undistributed income, if any as of the end of 2016			0.	
a Enter amount for 2015 only		<u> </u>	0.	
b Total for prior years		0.		
3 Excess distributions carryover, if any, to 2016				
a From 2011 3,383,845.	· ·			
bFrom 2012 1,582,772.	1			
c From 2013 427, 339.			*	\$ 1 \ 1
dFrom 2014 665, 795.	1	يئي ئي ٻ		
eFrom 2015 5,699,064.	.,,			
f Total of lines 3a through e	11,758,815.	,		
4 Qualifying distributions for 2016 from		Y X	4	
Part XII, line 4: ▶\$ 8,743,983.				
a Applied to 2015, but not more than line 2a	1 *		0.	
b Applied to undistributed income of prior	1		37 8 X 8	
years (Election required - see instructions)		0.		· *
c Treated as distributions out of corpus		₹ % . ;		
(Election required - see instructions)	0.	A -72 ()		
d Applied to 2016 distributable amount			, , , , , , , , , , , , , , , , , , , ,	6,623,378.
e Remaining amount distributed out of corpus	2,120,605.	* .	N S' F	(<u> </u>
5 Excess distributions carryover applied to 2016	0.			0.
(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	13,879,420.		1 3	****
b Prior years' undistributed income. Subtract	., .			1 × 30 × 3
line 4b from line 2b	· · · · · · · · · · · · · · · · · · ·	0.	*	2
c Enter the amount of prior years'	· · · · · · · · · · · · · · · · · · ·			
undistributed income for which a notice of deficiency has been issued, or on which	, ,	1		* * * * *
the section 4942(a) tax has been previously		0.	*	
assessed			<u>'</u>	
d Subtract line 6c from line 6b. Taxable		0.		Ï
amount - see instructions			·	
e Undistributed income for 2015 Subtract line			0	.]
4a from line 2a Taxable amount - see instr			 	
f Undistributed income for 2016. Subtract				
lines 4d and 5 from line 1. This amount must			}	0.
be distributed in 2017				
7 Amounts treated as distributions out of				
corpus to satisfy requirements imposed by				
section 170(b)(1)(F) or 4942(g)(3) (Election	7 500	See Statem	ent 15	
may be required - see instructions)	7,300	<u></u>		
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	3,376,345	.		
9 Excess distributions carryover to 2017	3/3/0/020			
Subtract lines 7 and 8 from line 6a	10,495,575	.		
10 Analysis of line 9	==,===,=	 		
a Excess from 2012 1,582,772				
b Excess from 2013 427, 339		1		
c Excess from 2014 665, 795				
dExcess from 2015 5,699,064				
e Excess from 2016 2, 120, 605				
623581 11-23-16				Form 990-PF (2016)

Form 990-PF (2016) THE J.N	ı. KAPLAN FU	ND, INC.		13-60	90286 Page 10
Part XIV Private Operating F	oundations (see ins	tructions and Part VII	A, question 9)	N/A	
1 a If the foundation has received a ruling of	or determination letter that	it is a private operating			
foundation, and the ruling is effective fo	or 2016, enter the date of th	ne ruling	>		
b Check box to indicate whether the foun	dation is a private operatin	g foundation described in	section	4942(ı)(3) or 49	42(<u>J)(</u> 5)
2 a Enter the lesser of the adjusted net	Tax year		Prior 3 years		
income from Part I or the minimum	(a) 2016	(b) 2015	(c) 2014	(d) 2013	(e) Total
investment return from Part X for					
each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII,					
line 4 for each year listed					
d Amounts included in line 2c not					
used directly for active conduct of					
exempt activities					
e Qualifying distributions made directly					
for active conduct of exempt activities				Ì	
Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon:				Ì	
a "Assets" alternative test - enter					
(1) Value of all assets			·	<u> </u>	
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)	}			1	
b "Endowment" alternative test - enter					
2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter:					
(1) Total support other than gross					
investment income (interest,					
dividends, rents, payments on securities loans (section				Į.	
512(a)(5)), or royalties)					
(2) Support from general public					
and 5 or more exempt organizations as provided in					
section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from					
an exempt organization					
(4) Gross investment income					
Part XV Supplementary Info			if the foundation	n had \$5,000 or mo	ore in assets
at any time during	the year-see instr	uctions.)			
1 Information Regarding Foundation					_
a List any managers of the foundation wh			ibutions received by the	foundation before the clos	e of any tax
year (but only if they have contributed i	11016 than \$5,000). (566 56	schon 307 (u)(z).)			
NONE	400/				
b List any managers of the foundation who other entity) of which the foundation has			or an equally large porti	on of the ownership of a pa	irthership or
NONE	•				
2 Information Regarding Contribut	ion Grant Gift Loan	Scholarship etc. Pr	ograms:		
Check here 🕨 🗓 if the foundation (only makes contributions to	o preselected charitable o	organizations and does i		
the foundation makes gifts, grants, etc.					<u> </u>
a The name, address, and telephone num SEE ATTACHMENT G	noer or e-mail address of tr	ie person to wnom applic	cations snoutd be addre	ssed.	
b The form in which applications should	be submitted and informati	on and materials they sh	ould include.		
SEE ATTACHMENT G c Any submission deadlines;		· · · · · · · · · · · · · · · · · · ·	·-—		· ·
SEE ATTACHMENT G					
d Any restrictions or limitations on award SEE ATTACHMENT G	ls, such as by geographica	l areas, charitable fields,	kinds of institutions, or	other factors:	
623601 11 23-16					Form 990-PF (2016)

Part XV Supplementary Informati 3 Grants and Contributions Paid During the		Dayment		
	If recipient is an individual	rayment		
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	Purpose of grant or contribution	Amount
	or substantial contributor	recipient		
a Paid during the year]			
	- 1			
EE ATTACHMENT E	N/A			
EE ATTACMENT E	N/A			6,722,55
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Total			▶ 3a	6,722,55
b Approved for future payment	- 1			
v pprotes for totale paymont	1		,	
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	1			
EE ATTACHMENT F	N/A			
				1,849,82
				<u> </u>
	İ	1		
		[
				
Total			▶ 3b	1,849,82 rm 990-PF (20

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated b	usiness income		ded by section 512 513 or 514	(e)
3	(a)	(b)	(C) Exclu-	(d)	Related or exempt
1 Program service revenue	Business code	Amount	sion code	Amount	function income
a PRI INTEREST					2,600.
b					
c					
d					
e					
1					
g Fees and contracts from government agencies		·			
2 Membership dues and assessments		· · · · ·			
3 Interest on savings and temporary cash					
investments			14	328.	
4 Dividends and interest from securities	525990	116.	14	2,051,214.	
5 Net rental income or (loss) from real estate:			,		. 4. ()
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal					-
property			نــــــا		
7 Other investment income	525990	11,227.	14	1,359,665.	
8 Gain or (loss) from sales of assets other than inventory	525990	-9,821.	18	2,774,169.	
9 Net income or (loss) from special events	323330	3,0211		2711272031	
10 Gross profit or (loss) from sales of inventory		······································	<u> </u>		
11 Other revenue:					
a SECURITIES LITIGATION					
b SETTLEMENT	_		01	255.	
c					
d	-				
e	_				
12 Subtotal. Add columns (b), (d), and (e)	_	1,522.	× *	6,185,631.	2,600.
13 Total. Add line 12, columns (b), (d), and (e)	<u> </u>	,		13	6,189,753.
(Con workshoot in line 12 instructions to worth coloulations	\				

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

_										_									
Line No.		olain below ho foundation's										tributed	Important	tly to th	e accor	nplishm	ent of		
1 A	PRI	INTER	EST O	N I	LOAN	ОТ	OPEN	SPA	CE :	INST:	LULI	ľΕ,	INC.	TO	\mathbf{BE}	UTII	LIZED	IN	Α
	ACOU	JIRING	ENVI	RON	MENT	ALL	Y SEN	SITI	VE I	AND	IN	NEW	YORK	์ รา	ATE	TO	PROTI	CT	
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THE J.M. KAPLAN FUND, INC. Information Regarding Transfers To and Transactions and Relationships With Noncharitable

1 Dot the organization detectly on addrestly enaging in any of the following on the code (other than section 501(c)) of the Code (other than section 501(c)) groundzianosing in section 501(c)) of the Code (other than sections). 1 Transfers from the reporting foundation to a noncharitable exempt organization of: (1) Cash (1) Cash (2) Other assets (3) Other assets (4) Percharises of assets from a noncharitable exempt organization (2) Purchases of assets from a noncharitable exempt organization (3) Renal of focilities, exapment, or other assets (4) Renal of focilities, exapment, maning less, other assets, or paid employees (3) Renal of focilities, exapment, maning less, other assets, or paid employees (4) If the advisor to any of the above is "ex-", complete the following schodule. Column (e) should always show the fair market value of the goods, other assets, or services received in section 501(c) of the Code (other than section 501(c)(s)) or in section 501(c) of the Code (other than section 501(c)(s)) or in section 501(c) of the Code (other than section 501(c)(s)) or in section 501(c) of the Code (other than section 501(c)(s)) or in section 501(c) of the Code (other than section 501(c)(s)) or in section 501(c) of the Code (other than section 501(c)(s)) or in section 501(c) of the Code (other than section 501(c)(s)) or in section 501(c) of the Code (other than section 501(c)(s)) or in section 501(c) of the Code (other than section 501(c)(s)) or in section 501(c) of the Code (other than section 501(c)(s)) or in section 501(c) of the Code (other than section 501(c)(s)) or in section 501(c) of the Code (other than section 501(c)(s)) or in section 501(c) of the Code (other than section 501(c)(s)) or in section 501(c) or in sect			Exempt Organ	izations				•			
a Transfers from the reporting foundation to a noncharitable exempt organization of: (1) Cash (2) Other assets 5	1	Did the	organization directly or indi	rectly engage in any of	the followin	g with any other organization	on described in secti	on 501(c) of		Yes	No
(1) Sakes of assets to a nonchariable exempt organization (1) Sakes of assets from a nonchariable exempt organization (2) Purchases of assets from a nonchariable exempt organization (3) Rental of facilities, equipment, or other assets (4) Rembusicance of services for membership or fundracing solicitations (5) Loans or loan guarantees (6) Performance of services for membership or fundracing solicitations (5) Loans or loan guarantees (6) Performance of services for membership or fundracing solicitations (7) It the answer to any of the above is "Yes", complete the following schedule. Column (6) should always show the fair market value of the goods, other assets, or services given by the reporting fundration if the fundation received dies that fair market value in any fundacing of services given by the reporting fundration in the fundation received dies that fair market value in any fundacing of the goods, other assets, or services received (6) Amount involved (6) Name of nonchariable exempt organization (7) Review of the goods, other assets, or services received (9) Amount involved (6) Name of nonchariable exempt organization (7) Peace of the interval of the goods, other assets, or services received (1) Amount organization (1) The Code (other than section 501(c)(3)) or in section 527? (1) If Yes, complete the following schedule (1) Name of organization (1) Type of organization (1) Description of relationship N/A (3) The fundation of the Code (other than section 501(c)(3)) or in section 527? (4) The complete the following schedule (1) Name of organization (1) Type of organization (1) Description of relationship N/A (1) The complete the following schedule (1) Name of organization (1) Type of		the Co	de (other than section 501(c))(3) organizations) or ir	section 52	?7, relating to political organ	izations?				
(2) Purchases of assets from a noncharidable exempt organization (1) Sales of assets from a noncharidable exempt organization (2) Purchases of assets from a noncharidable exempt organization (3) Retail of facilities, equipment or other assets (4) Rembus general arrangements (5) Loans or to ang surantees (6) Fefformance of services or membership or fundicising solicitations (7) Sales of assets from a noncharidable exempt organization (8) Rembus general arrangements (9) Loans or to ang surantees (8) Loans or to ang surantees (8) Fefformance of services or general properties (9) Loans or to ang surantees (10) Loans or 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 received (10) Loans of the value of the goods, other assets, or services received (10) Loans of the value of the goods, other assets, or services received (10) Loans of the condition of the value of the goods, other assets, or services received (10) Loans of the condition of the goods, other assets, or services received (10) Loans of the condition of the goods, other assets, or services received (10) Loans of the condition of the goods, other assets, or services received (10) Loans of the goods of the goods, other assets, or services received (10) Loans of the goods of the goods, other assets, or services received (10) Loans of the goods of the goods, other assets, or services received (10) Loans of the goods of the goods, other assets, or services received (10) Loans of the goods of the goods, other assets, or services received (10) Loans of the goods of t	a	Transf	ers from the reporting founda	ation to a noncharitable	exempt or	ganization of:			1 .	_	
b) Other transactions (1) Sales of assets to a noncharinable exempt organization (2) Purchase of assets to an anocharinable exempt organization (3) Retrail of facilities, equipment, or other assets (4) Reimbursoned arrangements (5) Loans or loan guarantees (6) Performance of services or membership or fundrasing solicitations (7) Sales of assets from a noncharinable exempt organizations (8) Performance of services or membership or fundrasing solicitations (8) Performance of services or membership or fundrasing solicitations (8) Performance of services or membership or fundrasing solicitations (8) Performance of services or services prior by the reporting fundration if the foundation received less than fair market value in any transaction or sharing arrangement, show in column (4) the value of the goods, other assets, or services received (9) Inner in (10) Amount models (10) Amount		(1) Ca	ish						1a(1)		X
(1) Sales of assets to an oncharrable exempt organization (2) Purchases of assets from a noncharrable exempt organization (3) Rehall of facilities, equipment, or other assets (4) Remobusement arrangements (5) Loans or total quarantees (5) Loans or total quarantees (6) Performance of services or membership or fundrasing solicitations (6) Performance of services or membership or fundrasing solicitations (7) A life answer to any of the above is "vis." complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting fundation if the fundation 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 foreweld (a) Livia no (b) Amount involved (c) Name of noncharrable exempt organization (d) Description of zerotices, and sharing arrangements. N / A (b) Type of organization (c) Description of relationship N / A (d) Description of relationship (e) Description of relationship (f) Name of noncharrable (seempt organization (g) Type of organization (g) Type of organization (g) Type of organization (g) Description of relationship N / A (g) Type of organization (g) Description of relationship (g) Description of relationship (g) Desc		(2) Ot	her assets						1a(2)		X
(2) Purchases of assets from a moncharisable exempt organization (3) Rental of facilities, equipment, or other assets (4) Rental bulb sement arrangements (5) Loans or loan guarantees (5) Loans or loan guarantees (6) Performance of services or membership or fundrasing solicitations (7) Loans or loan guarantees (8) Performance of services or membership or fundrasing solicitations (8) Performance of services or membership or fundrasing solicitations (8) Performance of services or were consumer of the services or services	b	Other t	ransactions								
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(4) Rembursement arrangements (5) Loans or loan guarantees (6) Performance of services or membership or fundraising soliotations (7) Experiments of services or membership or fundraising soliotations (8) Performance of services or membership or fundraising soliotations (9) Performance of services or services given by the reporting foundation if the following scholdly. 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) Lina no (b) Amount involved (c) Name of noncharitable exempt organization (d) Description of bandles valueschous, and phump arrangements N / A (d) Description of values valueschous, and phump arrangements N / A (e) Description of relationship arrangements 1 In Junder penalties of purply is described in a section 50 (c) of the Code (other than section 50 (c) (3)) or in section 52?? Ves		(2) Pu	irchases of assets from a noi	ncharitable exempt org	anization				1b(2)		X
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b If Yes," complete the following schedule (a) Name of organization (b) Type of organization (c) Description of relationship N/A Under penalties of perjury 1 dectare that 1 yave examined this return, including accompanying schedules and statements and to the best of my knowledge and belief it spray a givect and companying schedules and statements and to the best of my knowledge and belief it spray a givect and companying schedules and statements and to the best of my knowledge and belief it spray a givect and companying schedules and statements and to the best of my knowledge	2 a	Is the f	oundation directly or indirect	tly affiliated with, or rela	ated to, one	or more tax-exempt organi	zations described		_		_
(a) Name of organization (b) Type of organization (c) Description of relationship N/A Under penalties of perjury 1 declare that 1 have examined this return, including accompanying schedules and statements and to the best of my knowledge and belief it grup gonect and companying schedules and statements and to the best of my knowledge return with the preparer shown below (see inst 1)? CONTROLLER Primt/Type preparer's name CHRISTOPHER PETERMANN PETERMANN FIRM's name PKF O'CONNOR DAVIES, LLP Firm's name PKF O'CONNOR DAVIES, LLP Firm's address P665 FIFTH AVENUE NEW YORK, NY 10022 Phone no (212)286-2600		ın sect	ion 501(c) of the Code (other	than section 501(c)(3)) or in sect	tion 527?			Yes	<u>LX</u>	_l No
N/A Sign Here Under penalties of pergury 1 dectare that Utave examined this return, including accompanying schedules and statements and to the best of my knowledge and belief a grup general and complete Dectaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge return with the preparer shown below (see instr.)? CONTROLLER May the IRS discuss this return with the preparer shown below (see instr.)? Ves No No	b_	If "Yes,					,				
Sign and belief it is true abreet and complete Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge return with the preparer shown below (see instriction of preparer is name. CHRISTOPHER PETERMANN Preparer Use Only Firm's address ▶ 665 FIFTH AVENUE NEW YORK, NY 10022 Phone no (212)286-2600				anization		(b) Type of organization		(c) Description of relationsh	1IP		
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NEW YORK, NY 10022 Phone no (212)286-2600	US	UIII	- L	<u>ፍ ሮፓ ው</u> ጠ፣፣ አየን	ביו זואים			 			
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FORM 990-PF INTER	EST ON SAVINO	SS AND '	rempor.	ARY CASH	IN	VESTMENTS	STATI	EMENT 1
SOURCE			(A) EVENUE R BOOK		IN	(B) VESTMENT COME	ADC	(C) JUSTED INCOME
INTEREST ON SAVINGS TOTAL TO PART I, LINE 3			3	28.		328.		
			328.			328.		
FORM 990-PF	DIVIDENDS	AND IN	rerest	FROM SE	CUR	ITIES	STATE	EMENT 2
SOURCE	GROSS AMOUNT	CAPI' GAII DIVIDI	NS	(A) REVENU PER BOO		(B) NET INVEST MENT INCOM		(C) ADJUSTED ET INCOME
DIVIDENDS AND INTEREST INTEREST ON NOTES	1,858,923.		0.	•		1,856,852		
RECEIVABLE INTEREST PIMCO INTEREST-AGL INTEREST-KAPLAN	45,057. 146,354. 344.		0. 0. 0.	146,3	57. 54. 44.	45,053 146,354 344	1.	
CHOATE	652.		0.	65		652	2.	
TO PART I, LINE 4	2,051,330.		0.	2,051,330		2,049,259). — —	
FORM 990-PF		OTHE	R INCO	ME			STATI	EMENT 3
DESCRIPTION			RE	(A) VENUE BOOKS		(B) ET INVEST- ENT INCOME		(C) DJUSTED F INCOME
PARTNERSHIP INCOME PRI INTEREST SECURITIES LITIGAT	VT	1	,370,892 2,600 255	•	1,265,416, 2,600, 255,			
TOTAL TO FORM 990-	PF, PART I, 1	LINE 11	1	,373,747	 • -	1,268,271		
					= =		==	

FORM 990-PF	LEGAL	FEES	S	TATEMENT 4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES-PATTERSON BELKNAP WEBB & TYLER LLP	38,146.	0.		32,801.
TO FM 990-PF, PG 1, LN 16A	38,146.	0.		32,801.
FORM 990-PF	ACCOUNTI	NG FEES	S	PATEMENT 5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES-PKF O'CONNOR DAVIES	65,589.	0.		53,701.
TO FORM 990-PF, PG 1, LN 16B	65,589.	0.		53,701.
FORM 990-PF C	OTHER PROFES	SIONAL FEES	S	FATEMENT 6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MANAGEMENT FEES CONSULTANTS AND STIPENDS	604,269. 172,183.	604,269.		0. 169,613.
TO FORM 990-PF, PG 1, LN 16C	776,452.	604,269.		169,613.

FORM 990-PF	TAX	ES		STATEMENT 7			
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABI PURPOSES			
FEDERAL EXCISE TAX	49,037.	0.	•		0.		
FOREIGN TAXES STATE TAXES ON UBI	53,740. 250.	53,738. 0.			0.		
STATE TAKES ON ODT	250.		·		-		
TO FORM 990-PF, PG 1, LN 18 =	103,027.	53,738.	= 		0.		
FORM 990-PF	OTHER E	XPENSES		STATEMENT	8		
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABI E PURPOSES			
INSURANCE	24,915.	7,475.		19,775	 5 •		
TELEPHONE	16,614.	4,984.		13,059			
SUPPLIES	26,559.	7,968.		18,114			
REPAIRS AND MAINTENANCE	15,381.	3,454.		7,034			
INNOVATION PRIZE EXPENSE	254,458.	0.		249,009			
MEMBERSHIP DUES AND FEES MISCELLANEOUS OFFICE EXPENSE	41,736. 17,489.	0. 5,2 4 7.		45,286			
PAYROLL PROCESSING FEES	3,065.	920		20,025 2,146			
BANK CHARGES	969.	969			0.		
MESSENGERS	349.	105		25			
FEDERAL EXPRESS	2,017.			1,48			
OTHER EXPENSES	15,793.	4,738		11,05			
FILING FEES	1,500.	0.		1,500			
OTHER PORTFOLIO EXPENSES		1 710 115					
THROUGH K-1S	1,415,901.	1,719,115	· 		0.		
TO FORM 990-PF, PG 1, LN 23	1,836,746.	1,755,580.	= 	388,73	7.		
FORM 990-PF	CORPORAT	E BONDS		STATEMENT	9		
DESCRIPTION		ВС	OOK VALUE	FAIR MARKET VALUE			
P F LIFE ASSURANCE COMPANY			1,980,156.	1,980,150	6.		
TOTAL TO FORM 990-PF, PART II	, LINE 10C		1,980,156.	1,980,150	6.		

FORM 990-PF OTI	HER INVESTMENTS		STATEMENT 10
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
PIMCO LOW DURATION FUND-SEE	FMV		
ATTACHMENT A HEDGED EQUITIES-SEE ATTACHMENT A	FMV	7,309,818. 97,297,815.	7,309,818. 97,297,815.
REAL ESTATE AND REAL ASSETS-SEE	FMV		, ,
ATTACHMENT A LIQUIDATING ASSETS-SEE ATTACHMENT	A FMV	1,490,254. 39,006.	1,490,254. 39,006.
PRIVATE EQUITY-SEE ATTACHMENT A	FMV	17,614,154.	17,614,154.
TOTAL TO FORM 990-PF, PART II, LII	NE 13	123,751,047.	123,751,047.
FORM 990-PF DEPRECIATION OF ASSI	ETS NOT HELD FOR	INVESTMENT	STATEMENT 11
DESCRIPTION	COST OR OTHER BASIS	ACCUMULATED DEPRECIATION	BOOK VALUE
LEASEHOLD IMPROVEMENTS	1,975,277.	501,141.	1,474,136.
FURNITURE AND FIXTURES	355,291.	115,314.	239,977.
EQUIPMENT ART & ANTIQUES	66,042. 61,003.	60,694. 0.	5,348. 61,003.
TOTAL TO FM 990-PF, PART II, LN 14		677,149.	1,780,464.
FORM 990-PF	OTHER ASSETS		STATEMENT 12
	BEGINNING OF	END OF YEAR	FAIR MARKET
DESCRIPTION	YR BOOK VALUE	BOOK VALUE	VALUE
PROGRAM RELATED INVESTMENT	260,000.	260,000.	260,000.
PREPAID FEDERAL EXCISE TAX SECURITY DEPOSIT	125,593. 54,977.	151,355. 54,977.	151,355. 54,977.
DISTRIBUTION RECEIVABLE	104,489.	0.	0.
ARTWORK	61,003.	61,003.	61,003.
TO FORM 990-PF, PART II, LINE 15	606,062.	527,335.	527,335.

FORM 990-PF OTHER LIA	BILITIES	STATEMENT 13
DESCRIPTION	BOY AMOUNT	EOY AMOUNT
DEFERRED EXCISE TAX LIABILITY	864,500.	919,569.
TOTAL TO FORM 990-PF, PART II, LINE 22	864,500.	919,569.

FORM 990-PF

EXPENDITURE RESPONSIBILITY STATEMENT PART VII-B, LINE 5C

STATEMENT 14

GRANTEE'S NAME

SEE ATTACHMENT D

GRANTEE'S ADDRESS

GRANT AMOUNT DATE OF GRANT AMOUNT EXPENDED

PURPOSE OF GRANT