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Form **990-PF**
 Department of the Treasury
 Internal Revenue Service

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

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 ▶ **Information about Form 990-PF and its instructions is at www.irs.gov/form990pf.**

OMB No 1545-0052
2016
Open to Public Inspection

For calendar year 2016, or tax year beginning 01-01-2016, and ending 12-31-2016

Name of foundation THE HABE FOUNDATION		A Employer identification number 20-1366114	
% JANET L MULLIGAN			
Number and street (or P O box number if mail is not delivered to street address) hoffman mulligan 37 w 57th st 5 fl	Room/suite	B Telephone number (see instructions)	
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10019		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 10,372,273		J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis)	
		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	

Part I Analysis of Revenue and Expenses <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))</small>		(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)	0			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	193,873	193,873		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	1,997,299			
	b Gross sales price for all assets on line 6a	7,123,379			
	7 Capital gain net income (from Part IV, line 2)		2,920,701		
	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)					
12 Total. Add lines 1 through 11	2,191,172	3,114,574			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0			
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	2,900	725	0	2,175
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	18,819	2,406		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	45,086	44,659		427
	24 Total operating and administrative expenses. Add lines 13 through 23	66,805	47,790	0	2,602
	25 Contributions, gifts, grants paid	403,000			403,000
26 Total expenses and disbursements. Add lines 24 and 25	469,805	47,790	0	405,602	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	1,721,367				
b Net investment income (if negative, enter -0-)		3,066,784			
c Adjusted net income (if negative, enter -0-)					

Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing	372,278	202,338	202,338
	2 Savings and temporary cash investments			
	3 Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4 Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U S and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)	6,780,122	8,671,429	10,169,935
	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)			
	14 Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15 Other assets (describe ▶ _____)	0			
16 Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	7,152,400	8,873,767	10,372,273	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶ _____)			
	23 Total liabilities (add lines 17 through 22)	0	0	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	7,152,400	8,873,767	
	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)	7,152,400	8,873,767		
31 Total liabilities and net assets/fund balances (see instructions) .	7,152,400	8,873,767		

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	7,152,400
2 Enter amount from Part I, line 27a		2	1,721,367
3 Other increases not included in line 2 (itemize) ▶ _____		3	
4 Add lines 1, 2, and 3		4	8,873,767
5 Decreases not included in line 2 (itemize) ▶ _____		5	
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .		6	8,873,767

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1 a PUBLICLY TRADED SECURITIES	P		
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 7,123,379		4,202,678	2,920,701
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			2,920,701
b			
c			
d			
e			

2 Capital gain net income or (net capital loss)	2	2,920,701
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	

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?
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part Yes No

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	680,835	10,294,876	0.066133
2014	460,696	10,804,378	0.04264
2013	455,399	9,849,246	0.046237
2012	460,058	8,902,311	0.051678
2011	357,238	6,540,153	0.054622

2 Total of line 1, column (d)	2	0.26131
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	0.052262
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	9,828,517
5 Multiply line 4 by line 3	5	513,658
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	30,668
7 Add lines 5 and 6	7	544,326
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions	8	405,602

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

Table with 11 rows for excise tax calculation. Includes categories like 'Exempt operating foundations', 'Domestic foundations', and 'Tax due'. Total amount owed is 7,879.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Columns include question number, 'Yes', and 'No'. Questions cover political activities, tax returns, and asset reporting.

Part VII-A Statements Regarding Activities (continued)

11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions). 11 No
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) 12 No
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address 13 Yes
14 The books are in care of JANET L MULLIGAN Telephone no (212) 583-1100
Located at 37 W57TH STREET 5TH FL NEW YORK NY ZIP+4 10019
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 -Check here 15
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? Yes No
See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country

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.
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 No
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 No
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))
a At the end of tax year 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 No
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
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? 4a No
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016? 4b No

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

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

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1	
2	
3	
4	

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

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

	Amount
1	
2	
3 All other program-related investments. See instructions	

Total. Add lines 1 through 3 ▶

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	9,692,424
b	Average of monthly cash balances.	1b	285,766
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	9,978,190
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	0
3	Subtract line 2 from line 1d.	3	9,978,190
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	149,673
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	9,828,517
6	Minimum investment return. Enter 5% of line 5.	6	491,426

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	491,426
2a	Tax on investment income for 2016 from Part VI, line 5.	2a	61,336
b	Income tax for 2016 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	61,336
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	430,090
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	430,090
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	430,090

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	405,602
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	0
b	Cash distribution test (attach the required schedule).	3b	0
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	4	405,602
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	405,602

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				430,090
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			0	
b Total for prior years 2014, 2013, 2012		0		
3 Excess distributions carryover, if any, to 2016				
a From 2011.	39,577			
b From 2012.	18,048			
c From 2013.				
d From 2014.				
e From 2015.	178,013			
f Total of lines 3a through e.	235,638			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ <u>405,602</u>				
a Applied to 2015, but not more than line 2a			0	
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.				405,602
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))	24,488			24,488
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	211,150			
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		0		
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).	15,089			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	196,061			
10 Analysis of line 9				
a Excess from 2012.	18,048			
b Excess from 2013.				
c Excess from 2014.				
d Excess from 2015.	178,013			
e Excess from 2016.				

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

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

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

	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
2a Enter the lesser of the adjusted net income from Part I or the minimum 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 Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test—enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed.					
c "Support" alternative test—enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

1 Information Regarding Foundation Managers:

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

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

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

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

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

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

c Any submission deadlines

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

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> See Additional Data Table				
Total			▶ 3a	403,000
b <i>Approved for future payment</i>				
Total			▶ 3b	

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
REAP 5 SAMUEL PURDY LANE KATONAH, NY 10536	NONE	PC	GENERAL PURPOSE	20,000
NATURAL HISTORY MUSEUM OF THE ADIRONDACKS 45 MUSEUM DRIVE TUPPER LAKE, NY 12986	NONE	PC	GENERAL PURPOSE	100,000
TEACHERS COLLEGE 525 WEST 120TH STREET NEW YORK, NY 10027	NONE	PC	GENERAL PURPOSE	75,000
KLINGENSTEIN 3RD GENERATION FOUNDATION 37 WEST 57TH STREET 5TH FLOOR NEW YORK, NY 10019	NONE	PF	GENERAL PURPOSE	13,000
MISS PORTER'S SCHOOL 60 MAIN STREET FARMINGTON, CT 06032	NONE	PC	CAPITAL CAMPAIGN PLEDGE ANNUAL FUND	170,000
HOPE'S DOOR 39 WASHINGTON AVENUE PLEASANTVILLE, NY 10570	NONE	PC	GENERAL PURPOSE	25,000
Total ▶ 3a				403,000

TY 2016 Accounting Fees Schedule**Name:** THE HABE FOUNDATION**EIN:** 20-1366114

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	2,900	725		2,175

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2016 Depreciation Schedule

Name: THE HABE FOUNDATION

EIN: 20-1366114

TY 2016 Other Expenses Schedule**Name:** THE HABE FOUNDATION**EIN:** 20-1366114**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT ADVISORY FEES	44,392	44,392		
FILING FEES	427			427
ADR FEES	267	267		

TY 2016 Other Income Schedule**Name:** THE HABE FOUNDATION**EIN:** 20-1366114**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
SECURITIES LITIGATION			

TY 2016 Taxes Schedule**Name:** THE HABE FOUNDATION**EIN:** 20-1366114

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX WITHHELD	2,406	2,406		
FEDERAL TAXES PAID	16,413			



THE HABE FOUNDATION

Statement Period
December 1-31, 2016

	This Period		Year to Date	
Income Summary	Federally Tax-Exempt	Federally Taxable	Federally Tax-Exempt	Federally Taxable
Money Funds Dividends	0.00	1.07	0.00	16.97
Cash Dividends	0.00	27,396.14	0.00	182,921.87
Treasury Bond Interest	0.00	0.00	0.00	7,000.00
Treasury Bill Interest	0.00	0.00	0.00	534.22
Total Income	0.00	27,397.21	0.00	190,473.06

Investment Detail - Cash and Money Market Funds [Sweep]

	Market Value	% of Account Assets
Cash	4,300.10	<1%
Total Cash	4,300.10	<1%

Money Market Funds [Sweep]

	Quantity	Market Price	Market Value	Current Yield	% of Account Assets
SCHWAB US TREAS MONEY FD: SWUXX	198,038.3400	1.0000	198,038.34	0.01%	2%
Total Money Market Funds [Sweep]			198,038.34		2%
Total Cash & Money Market Funds			202,338.44		2%

Statement Period
December 1-31, 2016

THE HABE FOUNDATION

Investment Detail - Fixed Income

	Units Purchased	Par	Market Price Cost Per Unit	Market Value Cost Basis	Adjusted Cost Basis	% of Account Assets Acquired	Unrealized Gain or (Loss)	Estimated Annual Income Yield to Maturity
U.S. Treasuries								
US TREASUR NT 0.75%01/17	350,000.0000		100.0000	350,000.00	349,863.50	3%	136.50	2,625.00
UST NOTE DUE 01/15/17 CUSIP: 912828A91	350,000.0000		99.9610	349,863.50	349,863.50	12/26/14	136.50	0.76% Accrued Interest: 1,212.64
US TREASURY BILL17	400,000.0000		99.9456	399,782.40	399,090.00	4%	692.40	N/A
U S T BILL DUE 02/16/17 CUSIP: 912796KH1	400,000.0000		99.7725	399,090.00	399,090.00	08/17/16	692.40	0.45% Accrued Interest: 0.00
US TREASU NT 0.875%08/17	500,000.0000		100.0781	500,390.50	499,770.00	5%	620.50	4,375.00
UST NOTE DUE 08/15/17 CUSIP: 912828D49	500,000.0000		99.9540	499,770.00	499,770.00	12/04/14	620.50	0.89% Accrued Interest: 1,652.51
Total U.S. Treasuries	1,250,000.0000			1,250,172.90	1,248,723.50	12%	1,649.40	7,000.00
Total Fixed Income	1,250,000.0000			1,250,172.90	1,248,723.50	12%	1,649.40	7,000.00
Total Accrued Interest for U.S. Treasuries: 2,865.15								



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Investment Detail - Equities

Equities	Quantity Units Purchased	Market Price Cost Per Share	Market Value Cost Basis	% of Account Assets Acquired	Unrealized Gain or (Loss)	Estimated Yield Holding Days	Estimated Annual Income Holding Period
AIR LEASE CORP	5,600.0000	34.3300	192,248.00	2%	6,182.64	0.58%	1,120.00
CLASS A	3,000.0000	35.2113	105,634.10	08/06/14	(2,644.10)	878	Long-Term
SYMBOL: AL	2,600.0000	30.9351	80,431.26	01/07/16	8,826.74	359	Short-Term
Cost Basis			186,065.36			Accrued Dividend: 420.00	
ALPHABET INC.	250.0000	792.4500	198,112.50	2%	135,739.97	N/A	N/A
CLASS A	170.0000	256.9210	43,676.58	02/08/08	91,039.92	3249	Long-Term
SYMBOL: GOOGL	80.0000	233.6993	18,695.95	08/23/10	44,700.05	2322	Long-Term
Cost Basis			62,372.53				
AMERICAN INTL GROUP	3,000.0000	65.3100	195,930.00	2%	18,876.90	1.95%	3,840.00
SYMBOL: AIG	3,000.0000	59.0177	177,053.10	01/07/16	18,876.90	359	Short-Term
APPLE INC	1,800.0000	115.8200	208,476.00	2%	15,983.16	1.96%	4,104.00
SYMBOL: AAPL	800.0000	116.8263	93,461.04	01/28/15	(805.04)	703	Long-Term
Cost Basis	1,000.0000	99.0318	99,031.80	01/07/16	16,788.20	359	Short-Term
			192,492.84				
BIOGEN INC	600.0000	283.5800	170,148.00	2%	(7,815.45)	N/A	N/A
SYMBOL: BIIB	300.0000	305.5238	91,657.14	08/27/15	(6,583.14)	492	Long-Term
Cost Basis	300.0000	287.6877	86,306.31	01/07/16	(1,232.31)	359	Short-Term
			177,963.45				
BROADCOM LTD	1,255.0000	176.7700	221,846.35	2%	32,625.48	2.30%	5,120.40
SYMBOL: AVGO	1,255.0000	150.7736	189,220.87	07/06/16	32,625.48	178	Short Term
CELGENE CORP	1,600.0000	115.7500	185,200.00	2%	(5,152.80)	N/A	N/A
SYMBOL: CELG	800.0000	123.6748	98,939.84	09/15/15	(6,339.84)	473	Long-Term
Cost Basis	800.0000	114.2662	91,412.96	01/08/16	1,187.04	358	Short-Term
			190,352.80				

Investment Detail - Equities (continued)

Equities (continued)	Quantity Units Purchased	Market Price Cost Per Share	Market Value Cost Basis	% of Account Assets Acquired	Unrealized Gain or (Loss)	Estimated Yield Holding Days	Estimated Annual Income Holding Period
CHEVRON CORPORATION SYMBOL: CVX	2,100.0000 2,100.0000	117.7000 85.3750	247,170.00 179,287.50	2% 01/07/16	67,882.50 67,882.50	3.67% 359	9,072.00 Short-Term
CHUBB LTD F SYMBOL CB	1,600.0000 1,600.0000	132.1200 111.9381	211,392.00 179,100.96	2% 01/07/16	32,291.04 32,291.04	2.08% 359	4,416.00 Short-Term
COMCAST CORPORATION CLASS A SYMBOL: CMCSA	3,300.0000 3,300.0000	69.0500 55.0961	227,865.00 181,817.13	2% 01/07/16	46,047.87 46,047.87	1.59% 359	3,630.00 Short-Term
CVS HEALTH CORP SYMBOL: CVS	1,945.0000 1,945.0000	78.9100 96.6099	153,479.95 187,906.42	1% 06/15/16	(34,426.47) (34,426.47)	2.15% 199	3,306.50 Short-Term
FACEBOOK INC CLASS A SYMBOL: FB Cost Basis	1,800.0000 1,000.0000 800.0000	115.0500 88.5655 99.9530	207,090.00 88,565.50 79,962.40	2% 09/02/15 01/07/16	38,562.10 26,484.50 12,077.60	N/A 486 359	N/A Long-Term Short-Term
FEDEX CORPORATION SYMBOL: FDX Cost Basis	1,300.0000 1,000.0000 300.0000	186.2000 85.0565 108.4300	242,060.00 85,056.53 32,529.00	2% 07/22/05 12/29/06	124,474.47 101,143.47 23,331.00	0.85% 4180 3655	2,080.00 Long-Term Long-Term
HESS CORPORATION SYMBOL: HES	4,100.0000 4,100.0000	62.2900 42.2997	255,389.00 173,428.77	2% 02/03/16	81,960.23 81,960.23	1.60% 332	4,100.00 Short-Term
HONEYWELL INTL INC SYMBOL: HON Cost Basis	1,800.0000 800.0000 1,000.0000	115.8500 36.7369 38.3482	208,530.00 29,389.58 38,348.20	2% 11/30/05 12/27/05	140,792.22 63,290.42 77,501.80	2.29% 4049 4022	4,788.00 Long-Term Long-Term



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Investment Detail - Equities (continued)

Equities (continued)	Quantity Units Purchased	Market Price Cost Per Share	Market Value Cost Basis	% of Account Assets Acquired	Unrealized Gain or (Loss)	Estimated Yield Holding Days	Estimated Annual Income Holding Period
JOHNSON & JOHNSON SYMBOL: JNJ	1,800.0000 800.0000 500.0000 500.0000	115.2100 55.7166 62.3300 60.8400	207,378.00 44,573.33 ¹ 31,165.00 ¹ 30,420.00 ¹ 106,158.33	2% 07/29/04 11/30/05 12/27/05	101,219.67 47,594.67 26,440.00 27,165.00	2.77% 4538 4049 4022	5,760.00 Long-Term Long-Term Long-Term
<i>Cost Basis</i>							
JPMORGAN CHASE & CO SYMBOL: JPM	2,900.0000 2,900.0000	86.2900 61.5445	250,241.00 178,479.05	2% 01/07/16	71,761.95 71,761.95	2.22% 359	5,568.00 Short-Term
LAB CO OF AMER HLDG SYMBOL: LH	1,500.0000 1,000.0000 500.0000	128.3800 100.3285 120.2270	192,570.00 100,328.50 60,113.50 160,442.00	2% 11/12/14 01/07/16	32,128.00 28,051.50 4,076.50	N/A 780 359	N/A Long-Term Short-Term
<i>Cost Basis</i>							
MEDTRONIC PLC F SYMBOL: MDT	2,400.0000 2,400.0000	71.2300 76.9500	170,952.00 184,680.00	2% 01/27/15	(13,728.00) (13,728.00)	2.41% 704	4,128.00 Long-Term
MERCK & CO INC SYMBOL: MRK	3,500.0000 3,500.0000	58.8700 52.2291	206,045.00 182,801.85	2% 01/07/16	23,243.15 23,243.15	3.12% 359	6,440.00 Short-Term
<i>Cost Basis</i>							
METLIFE INC SYMBOL: MET	4,000.0000 1,500.0000 800.0000 300.0000 1,400.0000	53.8900 40.4490 40.9766 45.8580 33.8356	215,560.00 60,673.55 32,781.28 13,757.40 47,369.96 154,582.19	2% 10/20/10 11/03/10 03/08/11 11/08/11	60,977.81 20,161.45 10,330.72 2,409.60 28,076.04	2.96% 2264 2250 2125 1880	6,400.00 Long-Term Long-Term Long-Term Long-Term
<i>Cost Basis</i>							
NEWELL BRANDS INC SYMBOL: NWL	4,075.0000 4,075.0000	44.6500 46.8765	181,948.75 191,021.77	2% 05/03/16	(9,073.02) (9,073.02)	1.70% 242	3,097.00 Short-Term



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Investment Detail - Equities (continued)

Equities (continued)	Quantity Units Purchased	Market Price Cost Per Share	Market Value Cost Basis	% of Account Assets Acquired	Unrealized Gain or (Loss)	Estimated Yield Holding Days	Estimated Annual Income Holding Period
NEWMONT MINING CORP	10,000.0000	34.0700	340,700.00	3%	84,940.10	0.58%	2,000.00
SYMBOL: NEM	1,000.0000	22.7952	22,795.20 ¹	10/15/02	11,274.80	5191	Long-Term
	500.0000	23.7096	11,854.80 ¹	10/16/02	5,180.20	5190	Long-Term
	2,000.0000	39.2275	78,455.00 ¹	07/29/04	(10,315.00)	4538	Long-Term
	500.0000	40.9300	20,465.00	03/14/07	(3,430.00)	3580	Long-Term
	500.0000	42.3076	21,153.80	07/31/07	(4,118.80)	3441	Long-Term
	5,500.0000	18.3702	101,036.10	01/07/16	86,348.90	359	Short-Term
Cost Basis			255,759.90				
PAYPAL HOLDINGS INCO	5,400.0000	39.4700	213,138.00	2%	20,346.35	N/A	N/A
SYMBOL: PYPL	2,500.0000	37.9974	94,993.50	07/29/15	3,681.50	521	Long-Term
	2,900.0000	33.7235	97,798.15	01/07/16	16,664.85	359	Short-Term
Cost Basis			192,791.65				
PEPSICO INCORPORATED	1,900.0000	104.6300	198,797.00	2%	100,382.63	2.87%	5,719.00
SYMBOL: PEP	600.0000	49.2027	29,521.64	05/04/09	33,256.36	2798	Long-Term
	1,200.0000	49.1860	59,023.28	05/04/09	66,532.72	2798	Long-Term
	100.0000	98.6945	9,869.45	01/07/16	593.55	359	Short-Term
Cost Basis			98,414.37				Accrued Dividend: 1,429.75
PFIZER INCORPORATED	5,700.0000	32.4800	185,136.00	2%	4,052.13	3.69%	6,840.00
SYMBOL: PFE	5,700.0000	31.7691	181,083.87	01/07/16	4,052.13	359	Short-Term
PROCTER & GAMBLE	2,400.0000	84.0800	201,792.00	2%	43,931.93	3.18%	6,427.20
SYMBOL: PG	1,200.0000	61.7148	74,057.84	07/29/11	26,838.16	1982	Long-Term
	300.0000	60.9665	18,289.97	08/04/11	6,934.03	1976	Long-Term
	300.0000	63.7170	19,115.10	11/08/11	6,108.90	1880	Long-Term
	600.0000	77.3286	46,397.16	01/07/16	4,050.84	359	Short-Term
Cost Basis			157,860.07				



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Investment Detail - Equities (continued)

Equities (continued)	Quantity Units Purchased	Market Price Cost Per Share	Market Value Cost Basis	% of Account Assets Acquired	Unrealized Gain or (Loss)	Estimated Yield Holding Days	Estimated Annual Income Holding Period
QUALCOMM INC SYMBOL: QCOM	3,800,0000 3,800,0000	65.2000 47.0311	247,760.00 178,718.18	2% 01/07/16	69,041.82 69,041.82	3.25% 359	8,056.00 Short-Term
RAYTHEON COMPANY SYMBOL: RTN	1,500,0000 1,500,0000	142.0000 124.7170	213,000.00 187,075.50	2% 01/07/16	25,924.50 25,924.50	2.06% 359	4,395.00 Short-Term
ROYAL DUTCH SHELL F UNSPONSORED ADR 1 ADR REPS 2 ORD SHS SYMBOL: RDSA Cost Basis	4,100,0000 600,0000 1,200,0000 2,300,0000	54.3800 62.6233 62.6066 43.0614	222,958.00 37,574.00 75,128.00 99,041.22 211,743.22	2% 11/23/10 11/23/10 01/07/16	11,214.78 (4,946.00) (9,872.00) 26,032.78	6.91% 2230 2230 359	15,416.00 Long-Term Long-Term Short-Term
SAP SPONSORED F ADR 1 ADR REPS 1 ORD SHS SYMBOL: SAP Cost Basis	2,400,0000 1,200,0000 1,200,0000	86.4300 77.8399 77.8365	207,432.00 93,407.96 93,403.80	2% 02/11/14 01/07/16	20,620.24 10,308.04 10,312.20	1.51% 1054 359	3,132.43 Long-Term Short-Term
SCHLUMBERGER LTD F SYMBOL: SLB Cost Basis	2,700,0000 600,0000 1,500,0000 300,0000 300,0000	83.9500 58.2552 58.2302 64.3636 67.2499	226,665.00 34,953.16' 87,345.40' 19,309.08 20,174.97 161,782.61	2% 01/11/07 01/11/07 03/14/07 01/07/16	64,882.39 15,416.84 38,579.60 5,875.92 5,010.03	2.38% 3642 3642 3580 359	5,400.00 Long-Term Long-Term Long-Term Short-Term Accrued Dividend: 1,350.00
SYNCHRONY FINANCIAL SYMBOL: SYF Cost Basis	6,200,0000 1,407,6318 563,3681 4,229,0000	36.2700 2.3839 3.3420 29.8030	224,874.00 3,355.76' 1,882.81' 126,036.89 131,275.46	2% 03/28/85 05/02/90 01/07/16	93,598.54 47,699.05 18,550.55 27,348.94	1.43% 11601 9740 359	3,224.00 Long-Term Long-Term Short-Term

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Investment Detail - Equities (continued)

Equities (continued)	Quantity Units Purchased	Market Price Cost Per Share	Market Value Cost Basis	% of Account Assets Acquired	Unrealized Gain or (Loss)	Estimated Yield Holding Days	Estimated Annual Income Holding Period
TIME WARNER INC SYMBOL: TWX Cost Basis	2,800.0000 1,200.0000 1,600.0000	96.5300 66.5663 68.1806	270,284.00 79,879.60 109,088.96 188,968.56	3% 05/14/14 01/07/16	81,315.44 35,956.40 45,359.04	1.66% 962 359	4,508.00 Long-Term Short-Term
UNION PACIFIC CORP SYMBOL: UNP Cost Basis	2,285.0000 2,285.0000	103.6800 81.0784	236,908.80 185,264.37	2% 03/04/16	51,644.43 51,644.43	2.33% 302	5,529.70 Short-Term
UNITED TECHNOLOGIES SYMBOL: UTX Cost Basis	1,900.0000 500.0000 1,000.0000 400.0000	109.6200 39.3925 62.6488 62.9000	208,278.00 19,696.28 62,648.80 25,160.00 107,505.08	2% 10/01/03 09/21/06 12/29/06	100,772.92 35,113.72 46,971.20 18,688.00	2.40% 4840 3754 3655	5,016.00 Long-Term Long-Term Long-Term
VODAFONE GROUP UNSPONSORED ADR 1 ADR REPS 10 ORD SHS SYMBOL: VOD	5,700.0000 5,700.0000	24.4300 31.8046	139,251.00 181,286.22	1% 01/07/16	(42,035.22) (42,035.22)	8.38% 359	11,672.80 Short-Term

Accrued Dividend: 2,870.66

Total Equities	11,811.0000		7,180,003.38	70%	1,001,180.46		104,306.02
Total Cost Basis			6,195,418.96				
Total Accrued Dividend for Equities: 9,267.41							



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Investment Detail - Mutual Funds

Equity Funds	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
FRANKLIN K2 ALTERNATIVE STRAT FD CL ADV SYMBOL: FABZX	9,132.4200	10.7700	98,356.16	<1%	10.95	100,030.00	(1,673.84)
GOLDMAN SACHS MULTI MGR ALTERN FD INSTL SYMBOL: GSMMX	9,596.9290	10.3000	98,848.37	<1%	10.42	100,030.00	(1,181.63)
Total Equity Funds	18,729.3490		197,204.53	2%		200,060.00	(2,854.47)
Total Mutual Funds	18,729.3490		197,204.53	2%		200,060.00	(2,854.47)

Investment Detail - Other Assets

Other Assets	Quantity	Market Price	Market Value	% of Account Assets	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income
CROWN CASTLE INTL CO REIT SYMBOL: CCI Cost Basis	2,100.0000 1,200.0000 900.0000	86.7700 83.5976 85.3606	182,217.00 100,317.20 76,824.54 177,141.74	2% 08/31/15 01/07/16	5,075.26 3,806.80 1,268.46	4.37% 488 359	7,980.00 Long-Term Short-Term
SPDR S&P 500 ETF SYMBOL: SPY Cost Basis	2,090.0000 1,780.0000 310.0000	223.5300 216.7567 217.6333	467,177.70 385,827.10 67,466.35 453,293.45	5% 11/14/16 11/15/16	13,884.25 12,056.30 1,827.95	1.93% 47 46	9,046.09 Short-Term Short-Term Accrued Dividend: 2,777.46

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Investment Detail - Other Assets (continued)

Other Assets (continued)	Quantity Units Purchased	Market Price Cost Per Share	Market Value Cost Basis	% of Account Assets Acquired	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income
WEYERHAEUSER CO REIT	6,200.0000 6,200.0000	30.0900 28.7669	186,558.00 178,354.78	2% 01/07/16	8,203.22 8,203.22	4.12% 359	7,688.00 Short-Term
SYMBOL: WY							
Total Other Assets	10,390.0000		635,852.70	5%	77,465.70		29,778.00
			800,789.97				

Total Investment Detail	10,372,073.92
Total Account Value	10,372,073.92
Total Cost Basis	8,482,892.42