

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	245,863	531,193	531,193		
	2	Savings and temporary cash investments	1,334,946	3,374,620	3,374,620		
	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)					
	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)	18,845,930	17,184,922	17,184,922		
	14	Land, buildings, and equipment basis ▶ 700,341 Less accumulated depreciation (attach schedule) ▶ 468,035	241,658	232,306	280,600		
15	Other assets (describe ▶ _____)	334,096					
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	21,002,493	21,323,041	21,371,335			
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 ▶ _____)	600	600			
	23	Total liabilities (add lines 17 through 22)	600	600			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.						
	24	Unrestricted	21,001,893	21,322,441			
	25	Temporarily restricted					
	26	Permanently restricted					
	Foundations that do not follow SFAS 117, check here <input type="checkbox"/> and complete lines 27 through 31.						
	27	Capital stock, trust principal, or current funds					
	28	Paid-in or capital surplus, or land, bldg , and equipment fund					
	29	Retained earnings, accumulated income, endowment, or other funds					
	30	Total net assets or fund balances (see instructions)	21,001,893	21,322,441			
31	Total liabilities and net assets/fund balances (see instructions) .	21,002,493	21,323,041				

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	21,001,893
2	Enter amount from Part I, line 27a	2	257,836
3	Other increases not included in line 2 (itemize) ▶ _____	3	62,712
4	Add lines 1, 2, and 3	4	21,322,441
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	21,322,441

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1a See Additional Data Table			
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 See Additional Data Table			
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 See Additional Data Table			
b			
c			
d			
e			

2 Capital gain net income or (net capital loss)	<div> <div>If gain, also enter in Part I, line 7</div> <div>If (loss), enter -0- in Part I, line 7</div> </div>	2	934,397
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?



Yes



No

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

1 Enter the appropriate amount in each column for each year, see 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	1,087,225	21,553,129	0 05044
2014	1,042,890	22,166,495	0 04705
2013	559,893	21,004,616	0 02666
2012	488,091	19,207,932	0 02541
2011	557,233	18,948,779	0 02941
2 Total of line 1, column (d)			2 0 178966
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 035793
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5			4 20,013,102
5 Multiply line 4 by line 3			5 716,329
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 12,983
7 Add lines 5 and 6			7 729,312
8 Enter qualifying distributions from Part XII, line 4			8 1,021,524

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions

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

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b	1	12,983
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	
3	Add lines 1 and 2.	3	12,983
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	12,983
6	Credits/Payments		
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	28,024
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d.	7	28,024
8	Enter any penalty for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed ▶	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid ▶	10	15,041
11	Enter the amount of line 10 to be Credited to 2017 estimated tax ▶ 15,041 Refunded ▶	11	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)? <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities</i>	1b	No
c Did the foundation file Form 1120-POL for this year?	1c	No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ \$ _____ (2) On foundation managers ▶ \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities</i>	2	No
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	3	No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a	No
b If "Yes," has it filed a tax return on Form 990-T for this year?	4b	No
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T</i>	5	No
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	7	Yes
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NY _____		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation</i> .	8b	Yes
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>	9	No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>	10	No

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11	Yes	
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 www.hoytfoundation.org	13	Yes	
14	The books are in care of THE HOYT FOUNDATION INC Telephone no (607) 772-0780			

Located at **70 FRONT STREET Binghamton NY** ZIP+4 **13905**

15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year 15		
16	At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See 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 ▶	16	Yes No

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)		Yes	No
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? <input type="checkbox"/> Organizations relying on a current notice regarding disaster assistance check here. <input type="checkbox"/>	1b		No
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? <input type="checkbox"/>	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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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). <input type="checkbox"/>	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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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). <input type="checkbox"/>	3b		No
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

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions).	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	5b	No
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	If "Yes," attach the statement required by Regulations section 53.4945–5(d)			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	6b	No
	If "Yes" to 6b, file Form 8870			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	7b	No

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).

[illegible]

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

▶

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
NONE		
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	
All other program-related investments. See instructions.	
3	
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	19,800,958
b	Average of monthly cash balances.	1b	417,732
c	Fair market value of all other assets (see instructions).	1c	99,180
d	Total (add lines 1a, b, and c).	1d	20,317,870
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	20,317,870
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	304,768
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	20,013,102
6	Minimum investment return. Enter 5% of line 5.	6	1,000,655

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	1,000,655
2a	Tax on investment income for 2016 from Part VI, line 5.	2a	12,983
b	Income tax for 2016 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	12,983
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	987,672
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	987,672
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	987,672

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	1,014,005
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	7,519
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	4	1,021,524
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	12,983
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	1,008,541

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				987,672
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			3,110	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2016				
a From 2011.				
b From 2012.				
c From 2013.				
d From 2014.				
e From 2015.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ <u>1,021,524</u>				
a Applied to 2015, but not more than line 2a			3,110	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2016 distributable amount.				987,672
e Remaining amount distributed out of corpus	30,742			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	30,742			
b Prior years' undistributed income Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				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).				
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	30,742			
10 Analysis of line 9				
a Excess from 2012.				
b Excess from 2013.				
c Excess from 2014.				
d Excess from 2015.				
e Excess from 2016.	30,742			

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)

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

	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
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 e-mail address of the person to whom applications should be addressed
CATHERINE SCHWOEFFERMANN EXEC DIREC
70 FRONT STREET
BINGHAMTON, NY 13905
(607) 772-0780

b The form in which applications should be submitted and information and materials they should include
SEE APPLICATION FORM ON FOUNDATION WEBSITE AT WWW HOYFOUNDATION.ORG ALSO SEE VARIOUS GUIDELINES, CHECKLISTS AND INSTRUCTIONS ATTACHED

c Any submission deadlines
SEE ATTACHED APPLICATION INSTRUCTIONS

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

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

<div>Recipient</div> <div>Name and address (home or business)</div>	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> SEE SCHEDULE ATTACHED FRONT ST BINGHAMTON, NY 13905	N/A		VARIOUS	777,605
Total ▶ 3a				777,605
b <i>Approved for future payment</i> SEE ATTACHED SCHEDULE FRONT ST BINGHAMTON, NY 13905	N/A		VARIOUS	558,800
Total ▶ 3b				558,800

Enter gross amounts unless otherwise indicated

(See worksheet in line 13 instructions to verify calculations)

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions.)
----------------------	--

Form **990-PF** (2016)

Part XVII

- | | Yes | No |
|-------|-----|----|
| 1a(1) | | No |
| 1a(2) | | No |
| 1b(1) | | No |
| 1b(2) | | No |
| 1b(3) | | No |
| 1b(4) | | No |
| 1b(5) | | No |
| 1b(6) | | No |
| 1c | | No |

[illegible]

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

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

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

**Sign
Here**

* * * * *

Title

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

**Paid
Preparer
Use Only**

Print/Type preparer's name THOMAS K SBARRA	Preparer's Signature	Date	Check if self-employed <input type="checkbox"/>	PTIN P00169397
Firm's name ▶ Sbarra & Company CPAS PC				Firm's EIN ▶
Firm's address ▶ 1701 N St Bdg 40-2 Ste J34 Endicott, NY 13760				Phone no (607) 754-7707

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e g , real estate, (a) 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)
VARIOUS SHS HAHN CAPITAL MANAGEMENT LLC	P	2016-01-01	2016-01-01
TIFF PARTNERS II	P	2016-01-01	2016-04-30
41302 403 SHS TIFF MULTI ASSET FUND	P	2016-01-01	2016-04-19
35288 803 SHS TIFF MULTI ASSET FUND	P	2016-01-01	2016-06-16
GATOR FINANCIAL PARTNERS	P	2016-01-01	2016-12-31
22807 SHS VANGUARD MID CAP INDEX FD	P	2016-01-01	2017-06-16
336 938 SHS TIFF ABSOLUTE RETURN POOL	P	2016-01-01	2016-12-31
Capital Gain Dividends			

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
184,390		171,409	12,981
3,256		59,926	-56,670
603,015		622,990	-19,975
502,513		532,283	-29,770
200,797		277,855	-77,058
2,003,834		2,052,925	-49,091
1,500,000		464,162	1,035,838
			118,142

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			12,981
			-56,670
			-19,975
			-29,770
			-77,058
			-49,091
			1,035,838

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
MICHAEL J GAVIN 70 FRONT STREET BINGHAMTON, NY 13905	BOARD MEMBER 1 00	0		
LOUISE DONOHUE 70 FRONT STREET BINGHAMTON, NY 13905	BOARD MEMBER 1 00	0		
GAIL KOVAC 70 FRONT STREET BINGHAMTON, NY 13905	BOARD MEMBER 1 00	0		
MARENA GONZ 70 FRONT STREET BINGHAMTON, NY 13905	CHAIR 3 00	0		
JEFFERY SMITH 70 FRONT STREET BINHAMTON, NY 13905	VICE-CHAIR 1 00	0		
CATHERINE SCHWOEFFERMANN 70 FRONT STREET BINGHAMTON, NY 13905	Executive Direc 50 00	110,600	28,234	
AUBREY CLARK 70 FRONT STREET BINGHAMTON, NY 13905	BOARD MEMBER 1 00	0		
GARY DAVID REIN 70 FRONT ST BINGHAMTON, NY 13905	SECRETARY-TREAS 2 00	0		

TY 2016 Accounting Fees Schedule

Name: THE STEWART W & WILLMA C HOYT
FOUNDATION INC

EIN: 22-3209342

Software ID: 16000303

Software Version: 2016v3.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	10,100	4,040	0	6,060

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 STEWART W & WILLMA C HOYT
FOUNDATION INC

EIN: 22-3209342

Software ID: 16000303

Software Version: 2016v3.0

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
70 FRONT BUILDING	2001-07-18	112,152	40,424	SL	40 0000	2,804	993		
IMPROVEMENT-FRONT STEPS	2004-08-15	1,840	1,404	SL	15 0000	123	44		
NEW OFFICES ON 1ST FLOOR	2006-06-30	18,100	11,466	SL	15 0000	1,207	121		
REPLACE PORCH ROOF	2006-06-30	9,657	6,118	SL	15 0000	644	228		
THERMOSTAT INSTALLATION	2006-12-27	1,947	1,755	SL	10 0000	192	68		
CONCRETE SIDEWALK	2006-08-18	4,768	2,968	SL	15 0000	318	113		
BACK SIDE WALK	2007-06-04	1,550	884	SL	15 0000	103	36		
REPLACE ROOF	2007-09-20	10,000	5,503	SL	15 0000	667	236		
REPLACE ROOF	2007-09-20	11,267	6,196	SL	15 0000	751	266		
IMPROVEMENT NEW OFFICE	2008-09-11	5,244	3,843	SL	10 0000	524	52		
PAINTING BLDG	2010-10-31	77,950	40,274	SL	10 0000	7,795	2,759		
LANDSCAPING	2010-11-01	5,065	1,746	SL	15 0000	338	120		
PORCH RECONSTRUCTION	2010-07-01	27,700	10,158	SL	15 0000	1,847	654		
INSULATION IN ATTIC	2010-09-01	3,600	1,280	SL	15 0000	240	85		
ALARM SYSTEM	2011-05-01	1,878	1,754	SL	5 0000	124	44		
TELEPHONE SYSTEM	2012-01-27	2,488	1,950	SL	5 0000	498	50		
3 LENOVO DESKTOPS M71Z	2012-06-05	3,616	2,591	SL	5 0000	723	72		
GUTTER SYSTEM	2012-06-12	5,777	1,380	SL	15 0000	385	136		
MACBOOK PRO LAPTOP	2013-02-25	1,629	1,153	SL	4 0000	407	41		
ELECTRIC PANEL	2013-01-01	2,700	540	SL	15 0000	180	64		

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
LIGHTING UPGRADE	2013-09-05	1,847	432	SL	10 0000	185	65		
BRICK REPOINTING	2015-06-30	2,150	108	SL	10 0000	215	76		
LANDSCAPING - REAR HOUSE	2015-08-01	3,100	129	SL	10 0000	310	110		
CHIMNEYS REBUILT	2016-03-31	3,750		SL	15 0000	188	67		
LOWER LEVEL AC UNIT	2016-07-25	3,724		SL	10 0000	155	55		
5 HAIRSTATION COUNTERTOPS	2016-11-01	4,165		SL	10 0000	69	24		

TY 2016 General Explanation Attachment

Name: THE STEWART W & WILLMA C HOYT
FOUNDATION INC

EIN: 22-3209342

Software ID: 16000303

Software Version: 2016v3.0

General Explanation Attachment

Identifier	Return Reference	Explanation	
1		General Explanation Supplemental Information for Form 990-PF	PART VII-A QUESTION 11THE HOYT FOUNDATION IS THE 100% OWNER OF A SINGLE MEMBER LLC BY THE NAME OF, 70 FRONT STREET, LLC WHICH OWNS THE OFFICE BUILDING OCCUPIED BY HOYT AND OTHERS SINCE IT IS 100% OWNED IT IS CONSIDERED A DISREGARDED ENTITY FOR TAX REPORTING PURPOSES THEREFORE, ALL FINANCIAL TRANSACTIONS OF THE LLC ARE INCLUDED IN THE REPORTING OF THE FOUNDATION AFTER APPROPRIATE ELIMINATIONS OF INTERCOMPANY TRANSACTIONS THERE IS NO DEBT ON THE BUILDING, THEREFORE THERE IS NO DEBT-FINANCED UNRELATED BUSINESS INCOME.

TY 2016 Investments - Other Schedule

Name: THE STEWART W & WILLMA C HOYT
FOUNDATION INC

EIN: 22-3209342

Software ID: 16000303

Software Version: 2016v3.0

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
TIFF PARTNERS II	FMV		
TIFF MULTI ASSET FUND	FMV	1,142,899	1,142,899
TIFF SHORT TERM FUND	FMV	5,713	5,713
TIFF ABSOLUTE RETURN POOLS A&B	FMV	1,268,236	1,268,236
BROADSTONE REIT	FMV	1,063,518	1,063,518
GATOR FINANCIAL PARTNERS	FMV		
VANGUARD STAR FUND	FMV	2,566,756	2,566,756
VANGUARD HIGH YIELD	FMV	223,102	223,102
LIT-GREG/MASTERS SELECT INTL	FMV	728,248	728,248
VANGUARD PRIMECAP CORE	FMV	870,852	870,852
VANGUARD ST INV GR BONDS	FMV	693,217	693,217
VANGUARD INTER-MED BONDS	FMV	1,237,408	1,237,408
CALAMOS GROWTH	FMV	489,768	489,768
VANGUARD ETF MEGA CAP	FMV	3,603,351	3,603,351
VANGUARD ETF MID CAP	FMV	504,582	504,582
VANGUARD ETF SMALL CAP	FMV	719,334	719,334
HAHN MID CAP MANAGEMENT	FMV	2,067,938	2,067,938

**TY 2016 Land, Etc.
Schedule**

Name: THE STEWART W & WILLMA C HOYT
FOUNDATION INC

EIN: 22-3209342

Software ID: 16000303

Software Version: 2016v3.0

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
Furniture and Fixtures	32,754	32,153	601	600
Buildings	112,152	43,228	68,924	80,500
Improvements	485,935	392,654	93,281	130,000
Land	69,500		69,500	69,500

TY 2016 Legal Fees Schedule

Name: THE STEWART W & WILLMA C HOYT
FOUNDATION INC

EIN: 22-3209342

Software ID: 16000303

Software Version: 2016v3.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LEGAL FEES	3,846	962	0	2,884

TY 2016 Other Expenses Schedule

Name: THE STEWART W & WILLMA C HOYT
FOUNDATION INC

EIN: 22-3209342

Software ID: 16000303

Software Version: 2016v3.0

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BANK FEES	120			120
BOARD FUNCTIONS	834	83		751
BOOKS/SUBSCRIPTIONS	909			909
CLEANING	4,390	439		3,951
COMPUTER SERVICE	1,735	173		1,562
CONSULTANT FEES	31,507	31,507		
DUES & MEMBERSHIPS	4,148			4,148
FILING FEES	750			750
INSURANCE-GENERAL	6,384	638		5,746
MISCELLANEOUS	802			802

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
OFFICE FURNITURE & EQ	115	12		103
OFFICE SUPPLIES	2,305	230		2,075
PARKING	365	37		328
PAYROLL SERVICE	1,267	199		1,068
POSTAGE & MAILING	419	42		377
PUBLIC NOTICE	10			10
Rental Expenses	43,382	15,357		28,025
REPAIRS & MAINTENANCE	90	9		81
TELEPHONE	5,390	539		4,851

TY 2016 Other Income Schedule

Name: THE STEWART W & WILLMA C HOYT
FOUNDATION INC

EIN: 22-3209342

Software ID: 16000303

Software Version: 2016v3.0

Other Income Schedule

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
INC IN CASH SURR VAL INS	83,792	83,792	
OTHER INCOME	4,116	4,116	

TY 2016 Other Liabilities Schedule

Name: THE STEWART W & WILLMA C HOYT
FOUNDATION INC

EIN: 22-3209342

Software ID: 16000303

Software Version: 2016v3.0

Description	Beginning of Year - Book Value	End of Year - Book Value
SECURITY DEPOSIT	600	600

TY 2016 Other Professional Fees Schedule

Name: THE STEWART W & WILLMA C HOYT
FOUNDATION INC

EIN: 22-3209342

Software ID: 16000303

Software Version: 2016v3.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MANAGEMENT FEES	15,724	15,724	0	0

TY 2016 Taxes Schedule

Name: THE STEWART W & WILLMA C HOYT
FOUNDATION INC

EIN: 22-3209342

Software ID: 16000303

Software Version: 2016v3.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL EXCISE TAX	12,000			
PAYROLL TAXES	11,259	1,769		9,490

THE STEWART W. & WILLMA C. HOYT FOUNDATION, INC.

70 Front St., Binghamton, New York 13905
(607) 772-0780

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PART XV
LINE 2

GUIDELINES FOR GRANTS

POLICIES

Grants are made upon the direction and approval of the Hoyt Foundation Board of Directors

The Foundation Board may award a grant on a challenge basis, if it appears that such an award would assist an organization in raising other funds. A grant may also be awarded as matching funds.

The Hoyt Foundation values and promotes diversity within the board and staff of all nonprofit organizations.

AREAS OF INTEREST

The Hoyt Foundation focuses broadly in the following areas

- Arts
- Humanities
- Education
- Health
- Human Services

Organizations may submit proposals for special projects, capital needs, or technical assistance. The Foundation is particularly interested in assisting programs which meet an urgent community need, that do not unnecessarily duplicate the work of other organizations, that have explored alternative funding sources, and that have some reasonable assurance of ongoing support.

FUNDING RESTRICTIONS

Grants are limited to qualified nonprofit organizations with 501(c)(3) designation from the IRS. Organizations must be located in, or directly serving residents of, Broome County, New York. The benefits of a Hoyt grant must accrue primarily to Broome County residents.

Please note the following:

- An organization may submit only one proposal during the calendar year.
- If an organization currently has an open or active grant awarded in a previous grant cycle, it cannot apply, regardless of whether all grant payments have been made. The determination of whether a grant is "open" or "closed" is made by the Hoyt Foundation.
- Generally, if an organization received an award in one grant cycle, it must skip two (2) years (4 grant cycles) before it can apply again for another project (and the grant for which it previously received funding must be closed). Example: An agency that received a grant in Spring 2011 will be ineligible to apply until Fall 2013, and then only if the Spring 2011 grant is closed as determined by the Hoyt Foundation.
- Organizations may not resubmit a proposal for a project or program which has been previously declined by the Hoyt Foundation.

The Hoyt Foundation does not make grants to individuals, endowments, or for general operating support. It does not make grants for economic development projects, nor for repair ongoing maintenance projects. It does not make grants to organizations that have so many counterparts that to consider one would open a floodgate (examples include: individual scout troops, ambulance squads, volunteer fire departments, churches for

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capital historic preservation, schools, PIAs, chapter service organizations, and health related organizations with local chapters). Other limitations may apply.

PROCEDURES FOR SUBMITTING GRANT PROPOSALS

Inquiries

Calls of inquiry are required to determine eligibility. A meeting with the Executive Director must precede submission of a full proposal to the Hoyt Foundation. Direct inquiries to Catherine A. Schwoeffermann, Executive Director, at the foundation office (607) 772-0780

Schedule

Grants will be considered at the June and November board meetings. Application deadlines are April 1st and September 2nd. Please contact the Foundation office for more information

Content

Proposals should include the following information about the applicant organization, the project, and the finances for the project.

Grant Proposal Should Include:

- UNIFORM GRANT APPLICATION COVER SHEET
- UNIFORM GRANT APPLICATION NARRATIVE
- UNIFORM GRANT APPLICATION BUDGET NARRATIVE
- 501 (c) (3) TAX EXEMPT STATUS
- OPERATING BUDGETS
 - Current year
 - Prior year
 - Proposed budget for next year (if available)
- BOUND COPY OF MOST RECENT AUDITED FINANCIAL STATEMENT **AND** THE MANAGEMENT LETTER
- COMPLETE LIST OF CURRENT BOARD OF DIRECTORS (Please note officers, affiliations, and term dates)
- INFORMATION SHEET TO BE FILLED OUT BY EXECUTIVE DIRECTOR OR BOARD OFFICER

Additional Information as Requested

If applying for project support, an organization should be able to demonstrate the probability of future ongoing funding from other sources to replace whatever funding the Foundation might provide in the current year.

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THE STEWART W. & WILLMA C. HOYT FOUNDATION, INC.

The Hoyt Foundation, in considering grant requests, takes into account many factors including how the proposed program relates to the organization's mission and long-range plans. It also looks at the management of the organization and gives high priority to the board's policies, as the body ultimately responsible for the organization. In that context, we would ask you to respond to the questions below.

TO BE FILLED OUT BY THE BOARD PRESIDENT OR OTHER BOARD OFFICER AND INCLUDED WITH THE GRANT APPLICATION

1. How often does your board meet?
2. What is your attendance policy? How is it acted upon? What constitutes a quorum?
3. Do you have a nominating committee? YES _____ NO _____ What is its responsibility?
4. Does any staff member serve as a voting member of the board? YES _____ NO _____
If yes, please explain.
5. Do you have a policy limiting terms of office for board members and for officers?
YES _____ NO _____ If yes, please explain.
6. Does your board have a policy to promote pluralism and diversity within your board?
Staff? _____ Constituencies? _____
7. Do you have a policy establishing guidelines to avoid material conflicts of interest for board and/or staff? YES _____ NO _____
8. Please describe your ongoing long-range planning process.

Do you have a written long-range plan? YES _____ NO _____
9. Do you have written personnel policies? By whom and how often are they reviewed?
10. Do you have an established procedure for board review of the executive director?
11. How does the board evaluate the effectiveness of your programs?

SIGNED _____

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The Stewart W. and Willma C. Hoyt Foundation

CHECKLIST FOR GRANT PROPOSALS

NAME OF AGENCY: _____

DATE RECEIVED _____

Only Include Items Listed Below

_____ UNIFORM GRANT APPLICATION COVER SHEET..... (15 copies)

_____ UNIFORM GRANT APPLICATION NARRATIVE (15 copies)

_____ UNIFORM GRANT APPLICATION BUDGET NARRATIVE (15 copies)

_____ OPERATING BUDGET CURRENT YEAR (15 copies)

_____ COMPLETE LIST OF CURRENT BOARD OF DIRECTORS (15 copies)
(Please note officers, affiliations, and term dates)

_____ INFORMATION SHEET TO BE FILLED OUT BY EXECUTIVE DIRECTOR OR
BOARD OFFICER (15 copies)

_____ BOUND COPY OF MOST RECENT AUDITED FINANCIAL STATEMENTS AND THE
MANAGEMENT LETTER (FISCAL YEAR-END DATE _____) (1 copy)

_____ SUBSEQUENT YEAR (S) INCOME STATEMENT AND BALANCE SHEET-Internal Reports Acceptable

_____ Prior year (If another year has been completed and audited statements are not yet available)
(Year-End Date _____) (1 copy)

_____ Current year-to-date (For current year in progress) (1 copy)

_____ 501 (c) (3) TAX EXEMPT STATUS (1 copy)

_____ OTHER _____

ORGANIZATION NOTIFIED THAT FURTHER INFORMATION IS NEEDED

_____ Date Notified _____

_____ Date Notified _____

990 PF PART XV LINE 2

Uniform Grant Application (UGA)

Forms and Guidance

Contents:

- **Uniform Grant Application Cover Sheet**
- **Uniform Grant Application Narrative**
 - **Program/Project Narrative**
 - **Budget and Attachments**
- **Strategies for a Successful Application**
 - **Tips**
 - **Question-by-Question Guidance**

Applicants MUST contact the foundation(s) they are interested in applying to PRIOR to completing the Uniform Grant Application

A complete Uniform Grant Application should include the following in the order indicated:

- A **Uniform Grant Application Cover Sheet**
- B **Uniform Grant Application Narrative**
- C **Uniform Grant Application Budget and Attachments**

Date of Application: _____

A. Uniform Grant Application Cover Sheet

Name of Foundation Application is being submitted to: _____

Type of Support Requested: _____ operating _____ capital _____ capacity building _____ program

Name of Applying Organization: _____

Year Founded: _____ Current Annual Operating Budget: \$ _____ \$ _____
Income Expenses

Contact Person Title: _____

Address: _____

City: _____ State: _____ Zip: _____

Phone: (____) _____ Fax: (____) _____ E-mail: _____

Project Name: (if applicable) _____

Total Cost of Project: \$ _____ Amount Requested: \$ _____

Other Sources of Funding for Project: _____

Purpose and Goal(s) of Project: _____

Beginning and End Dates of Project: _____ Geographic Area to be Served: _____

I certify, to the best of my knowledge, that:

- The most current IRS-990 of this organization can be found on GuideStar
- The tax-exempt 501(c)(3) or other tax exempt or public charity status of this organization is still in effect
- This organization does not support or engage in any terrorist activity
- The proceeds of an awarded grant will not be distributed to or used to benefit any organization or individual supporting or engaged in terrorism or used for any other unlawful purpose
- If applicable, this organization has received email confirmation that required documents have been submitted to and received by NYS Grants Gateway. Please attach copy of email *or* provide explanation

Signatures:

Executive Director

Date

President, Board of Directors or other Board Officer

Date

B. Uniform Grant Application Narrative

PRIOR to completing the UGA, confirm with the foundation what type of support you are applying for.

Organizations applying for **specific projects/programs** should complete *all* sections of the Uniform Grant Application Narrative *and* the required attachments.

All applicants should number their responses to match the Section and question numbers.

- ❖ Please refer to guidelines of the foundation(s) you are applying to for specific formatting instructions: font size, margins, etc.
- ❖ Please refer to the *Strategies for a Successful Application: Tips and Question-by-Question Guidance* form which offers technical assistance to applicants.

Section One: Organizational History - (limit response to ½ page)

1. Provide a brief history of your organization's development and accomplishments. Please include the mission of your organization.

Section Two: Program/Project Description - (limit response to 1 ½ pages)

1. Provide a brief summary of the program/project.
2. What is/are the long-term goal(s) of the program/project?
3. What are the short-term, measureable objectives of your program/project that will meet your stated long-term goal(s)?
4. Who will you be collaborating with to meet your stated goal(s) and in what capacity?
5. For each short-term objective, describe the specific activities that will be undertaken, including number of people expected to be impacted, responsible staff and the target date for completion.
6. If your program/project will continue beyond the period funded by this grant, what are your plans to continue its funding?

Section Three: Need for Program/Project – (limit response to 1 ½ pages)

1. Please specify how the requested funds will be applied.

2. Supply evidence that your [organization] *OR* your [program/project] does not duplicate services provided elsewhere in the region you serve.
3. Identify the community need your program/project will address.
4. How was the need determined?
5. Discuss the results of your need assessment.

Section Four: Evaluation - (limit your response to 1 page)

1. How will you evaluate the success of your program/project? *Or*, of your organization's overall goals for the operating year for which you seek funding?

Section Five: Administrative - (limit response to 1 ½ pages)

1. How have revenue streams to your organization been impacted by recent local, state and/or nationwide financial developments?
2. What steps have you taken to manage expenses and revenue?
3. What will be different about how you operate during the next year?
4. With what degree of certainty does your board believe that the agency is sustainable over the next 2-3 years? On what basis?
5. What impact would a partial award have on your proposal?

NOTE: See next page for C. Required Attachments

C. Required Attachments

Please submit the following attachments in the order indicated:

Tax exempt status: Verification of 501(c)(3) tax-exempt or other tax exempt or public charity status (if requested by foundation)

Budget: Select 1 or 2, to correspond with your request. Both may be required. Check with foundation.

1. Provide an accurate, detailed program project budget, a requirement of all funders. (Exception: if applying for general operating only, not tied to any program, provide only #2.)

Supplemental information may be requested. Your total program project budget should be broken down into items specified below. As long as your budget is typewritten and contains the required information, you may submit it in a format convenient for you. The information requirements are as follows:

- Specify the budget period (e.g. January 1, 2012-December 31, 2012)
- Specify the requested amount and the total cost of the program project

Revenue:

(If requested amount is different from the total cost of the program project, itemize all confirmed and anticipated sources of revenue, and provide a revenue total. Indicate the amount of funds, if any, for this program/project that will be drawn down from your operating budget and or reserve fund.)

Expenses:

- Itemize your expenses and provide an expense total.

Narrative (if applicable):

- Provide an explanation of any unusual budget items.
- Specify in-kind expenses and donations or matching funds, including volunteer hours to be leveraged. If labor, equipment or supplies necessary to the program/project are being donated, include this amount on both the expense and the revenue side.

1. Provide an agency budget (on one page if possible) that shows line items side by side with the following columns, in order indicated:
 - Prior year budgeted
 - Prior year actual
 - Current year budgeted
 - Current year-to-date
 - Next year [preliminary] or [actual] budgeted (If not yet complete, please provide brief statement describing what significant budget changes you anticipate making for the next year)

Financial Statements: Bound copy of the most recent audited financial statement, including management letter (if you are required to perform an audit)

Board list: A complete list of your current board of directors. Be sure to note officers, affiliations and term dates.

Strategies for a Successful Application:

Tips:

What is the purpose of the Uniform Grant Application (UGA)?

The Uniform Grant Application (UGA) has been created to simplify the process of requesting and making grants. The format has been designed to assist grant-seekers with organizing and writing their proposals. The process has been streamlined to eliminate redundancy when applying to participating foundations.

Which foundations are currently participating in the UGA?

The following foundations are currently utilizing the Uniform Grant Application:

The Community Foundation for South Central New York, the Stewart W. and Willma C. Hoyt Foundation, the Conrad and Virginia Klee Foundation, the Roger Kresge Foundation, the George A. and Margaret Mee Foundation and the Dr. G. Clifford and Florence B. Decker Foundation. Other foundations may only require the cover sheet. If the foundation you are applying to is not listed, phone them directly to ask if they are using the UGA

How should you start?

Grant-seekers must contact the foundation(s) they are interested in applying to in order to determine the eligibility of their proposal PRIOR to completing the UGA.

Know your purpose in applying. Thoroughly research the need for your proposal and be able to articulate the proposal's goals and objectives. Develop a statement of need for your proposal that will be used to "shop" your request to potential funders.

What happens next?

Conduct research to identify foundations that make grants to your type of organization in your geographic area. Make certain the purpose of your proposal fits within a funder's guidelines. Find out about each funder's application process. Some may not want a proposal right away and may want you to begin with a letter of inquiry. If the foundation accepts the Uniform Grant Application and has requested a full-proposal, complete the UGA coversheet, narrative, budget, and attachments.

Participating foundations reserve the right to request additional information when considering applications.

What types of support may be available?

The types of support that are available vary. Please directly contact the foundation(s) you are interested in applying to and/or review their funding guidelines to clarify the types of support they currently offer.

How can you ensure your proposal is the best it can be?

- Take the time to review your completed proposal to make sure it is complete and that you have included all information that has been requested.
- Do **not** include any information that hasn't been requested.
- Be clear and brief.
- It can be difficult to assess the clarity of your proposal when you are very close to the project. Consider having a board member or other associate review and edit your proposal.
- Adhere to page limits.
- Provide any additional information requested by the funder in a timely manner.

Question-by-Question Guidance: This section is meant to offer applicants guidance when completing the Uniform Grant Application Narrative.

Section One: Organizational History

Question 1: The historical overview of your organization is your opportunity to convey your successes and to make the case for why your organization is the right one to implement the proposed project or program. Please include current programs and services. Explain the fit between the organization's mission and the proposed project or program

Section Two: Program/project Description

Question 1: Please provide a brief paragraph (not to exceed 250 words) that summarizes the funding request and includes the following information: the general purpose for the grant, the amount of funding requested, a synopsis of the project, and the major outcome(s) to be achieved.

EXAMPLE: The XYZ Neighborhood Project initiative is a comprehensive community project designed to reduce tobacco use through a combination of education and local government policy changes. A grant request of \$15,000 over 12 months will allow the project to target youth ages 10-21 with anti-smoking messages, educational programs. This effort is designed to culminate in the passage of comprehensive indoor clean air acts in XYZ County and to reduce the initiation of smoking in the targeted age group.

Question 2: The goal of your program project is its major intent, or what you hope to accomplish over the life of the program/project. Please state your goals clearly and make sure they are obtainable. The following are examples of an attainable vs. unattainable goal statement:

Attainable: Students in the XYZ school district will increase their knowledge regarding the health risks of smoking.

- **Unattainable.** To end teen smoking in Broome County.

Question 3: Program/project objectives will outline the steps your organization will take towards accomplishing the program/project goal. In order to aid with evaluation, all program/project objectives should be measurable. What follows are three examples of objectives that are designed to accomplish a program goal:

- **Program/project goal:** Students in the XYZ school district will increase their knowledge regarding the health risks of smoking.
- **Measurable program/project objective:** 85% of students who participate will be able to name four health risks associated with smoking.
- **Measurable program/project objective:** 85% of students who participate will be able to demonstrate one way they can say "no" when offered a cigarette.
- **Measurable program/project objective:** 85% of students who participate will report sharing the information they've learned with a friend or family member

Question 4: Collaboration to achieve program/project goals is strongly recommended. What organizations will you partner with to carry out your stated goals and objectives? What role will partnering organizations play?

Question 5: Please describe the program activities that your organization and its partners will take on to achieve the program/project stated objectives. If applicable, please include the activity, the number of people you expect to impact, the staff responsible, and the target date for completion.

Question 6: Most grant awards are time-limited in nature. If applicable, please describe the specific mechanisms and/or sources of support you are proposing to achieve the sustainability of your program/project.

Section Three: Need for Program/project

Question 1: Please specify how the requested funds will be applied.

Question 2: Discuss the process undertaken to ensure your proposed program/project does not duplicate existing services provided elsewhere. If similar services are provided, please provide an explanation as to why yours are also needed, or what differences exist between the programs/projects

Question 3: Please state clearly and concisely what community need your program/project is seeking to address.

Question 4: The strongest applications will cite *local* data to support their statement of need. Sources for data related to community need can be found on state, county, and municipality websites (e.g. www.gobroomecounty.com, www.ny.gov, www.cityofbinghamton.com) The local United Way (www.uwbioome.org) also has need assessment data as does the Community Foundation for South Central New York (www.donorswhocare.org). Applicants should also consider including information regarding how they've engaged their consumers to receive input regarding need. (e.g. focus groups, need survey, personal interviews, etc.)

Question 5: Discuss the findings of your need assessment process that are most relevant to the program/project you are proposing.

Section Four: Evaluation

Question 1: Please describe what methods you will use to evaluate each of your measurable objectives. The following is an example of an evaluation strategy:

Measurable program/project objective: 85% of students who participate will be able to name four health risks associated with smoking.

- **Evaluation Strategy:** This objective will be measured through the development and administration of a pre- and post- test to all participating students.

If requesting general operating funds, how will you know that the short-term assistance has improved your long-term sustainability?

Section Five: Administration:

Question 1: When answering please consider whether your organization has experienced a decrease or discontinuation of funding from federal, state or local sources. You may also want to include the impact of the economic downturn on your fundraising efforts.

Question 2: Please describe the steps your organization has taken to reduce expenses which may include, layoffs, programmatic cuts, reduced staff travel/training, not filling vacant positions, etc. Also detail the steps you have taken to increase revenue which may include: increased grant-seeking, extra fundraising, special appeals to community members, etc.

Question 3: Please describe how you have altered the operation of your organization as a result of your efforts to reduce expenses and raise revenue.

Question 4: Please describe your board of directors' involvement in and reaction to the operating decisions your organization has made as a result of your efforts to decrease expenses and increase revenue in a declining economic environment. Are they confident that these changes will stabilize your operations? What do they base that confidence on?

Question 5: Describe what modifications, if any, your organization would have to make if your proposal is not fully funded

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