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Return of Private Foundation

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

2016

Department of the Treasury
Internal Revenue Service

Do not enter social security numbers on this form as it may be made public.
Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

Open to Public Inspection

For calendar year 2016 or tax year beginning

, and ending

Name of foundation HARLAN E. ANDERSON FOUNDATION		A Employer identification number 23-7011480
Number and street (or P O box number if mail is not delivered to street address) THE MAPLES PH, 179 OENOKE RIDGE RD	Room/suite	B Telephone number (203)966-5932
City or town, state or province, country, and ZIP or foreign postal code NEW CANAAN, CT 06840		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) \$ 10907621.	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
(Part I, column (d) must be on cash basis)		

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))</small>	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
	1 Contributions, gifts, grants, etc., received			N/A	
	2 Check <input checked="" 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	239650.	239650.		STATEMENT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	152129.			
	b Gross sales price for all assets on line 6a 4484445.				
	7 Capital gain net income (from Part IV, line 2)		152129.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss)				
	11 Other income	8589.	3113.		STATEMENT 2
	12 Total Add lines 1 through 11	400368.	394892.		
	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees				
	b Accounting fees				
	c Other professional fees STMT 3	61735.	61735.		0.
	17 Interest				
	18 Taxes STMT 4	13285.	13285.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses STMT 5	5233.	5233.		0.
	24 Total operating and administrative expenses. Add lines 13 through 23	80253.	80253.		0.
	25 Contributions, gifts, grants paid	520000.			520000.
	26 Total expenses and disbursements Add lines 24 and 25	600253.	80253.		520000.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	-199885.			
	b Net investment income (if negative, enter -0-)		314639.		
	c Adjusted net income (if negative, enter -0-)			N/A	

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
Assets	1	Cash - non-interest-bearing		84051.	84680.	84680.
	2	Savings and temporary cash investments		326367.	263452.	263452.
	3	Accounts receivable ▶				
		Less: allowance for doubtful accounts ▶				
	4	Pledges receivable ▶				
		Less: allowance for doubtful accounts ▶				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons				
	7	Other notes and loans receivable ▶				
		Less: allowance for doubtful accounts ▶				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10a	Investments - U.S. and state government obligations				
	b	Investments - corporate stock STMT 7		9133144.	9710940.	10520317.
	c	Investments - corporate bonds				
	11	Investments - land, buildings, and equipment basis ▶				
	Less: accumulated depreciation ▶					
12	Investments - mortgage loans					
13	Investments - other STMT 8		749067.	39133.	39172.	
14	Land, buildings, and equipment: basis ▶					
	Less: accumulated depreciation ▶					
15	Other assets (describe ▶)					
16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		10292629.	10098205.	10907621.	
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				
	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		10292629.	10098205.	
28	Paid-in or capital surplus, or land, bldg., and equipment fund		0.	0.		
29	Retained earnings, accumulated income, endowment, or other funds		0.	0.		
30	Total net assets or fund balances		10292629.	10098205.		
31	Total liabilities and net assets/fund balances		10292629.	10098205.		

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	10292629.
2	Enter amount from Part I, line 27a	2	-199885.
3	Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 6	3	5461.
4	Add lines 1, 2, and 3	4	10098205.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	10098205.

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 ATTACHED JP MORGAN FORM 1099-B	P	VARIOUS	VARIOUS
b SEE ATTACHED JP MORGAN FORM 1099-B	P	VARIOUS	VARIOUS
c SEE ATTACHED JP MORGAN FORM 1099-B	P	VARIOUS	VARIOUS
d CAPITAL GAINS DIVIDENDS			
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 2625966.		2624345.	1621.
b 184183.		99038.	85145.
c 1673735.		1608933.	64802.
d 561.			561.
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			1621.
b			85145.
c			64802.
d			561.
e			

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	152129.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8		3	N/A

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

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

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

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

Yes No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2015	712077.	11307070.	.062976
2014	185000.	5630540.	.032857
2013	172181.	3446455.	.049959
2012	150287.	3100077.	.048478
2011	134500.	2955760.	.045504

2 Total of line 1, column (d)	2	.239774
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	.047955
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	10644737.
5 Multiply line 4 by line 3	5	510468.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	3146.
7 Add lines 5 and 6	7	513614.
8 Enter qualifying distributions from Part XII, line 4	8	520000.

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	3146.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0.
3	Add lines 1 and 2	3	3146.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	3146.
6	Credits/Payments:		
6a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	2960.
6b	Exempt foreign organizations - tax withheld at source	6b	
6c	Tax paid with application for extension of time to file (Form 8868)	6c	
6d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	2960.
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	186.
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	
11	Enter the amount of line 10 to be: Credited to 2017 estimated tax <input type="checkbox"/> Refunded <input checked="" type="checkbox"/>	11	

Part VII-A Statements Regarding Activities

	Yes	No
1a		X
1b		X
1c		X
d		
e		
2		X
3		X
4a		X
4b		
5		X
6	X	
7	X	
8a		
8b	X	
9		X
10		X

N/A

Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	X	
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	X	
14 The books are in care of ► HARLAN E. ANDERSON Telephone no ► (203) 966-5932 Located at ► THE MAPLES PH, 179 OENOKE RIDGE RD, NEW CANAAN, C ZIP+4 ► 06840		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year	N/A	
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►		X

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<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 type="checkbox"/> Yes <input checked="" 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)? Organizations relying on a current notice regarding disaster assistance check here	N/A	
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?		X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? If "Yes," list the years ►	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	N/A	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<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)	N/A	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?		X

Part VII-B. Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? Yes No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? Yes No

(3) Provide a grant to an individual for travel, study, or other similar purposes? Yes No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions) Yes No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? Yes No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? Yes No
 Organizations relying on a current notice regarding disaster assistance check here N/A

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? Yes No
 If "Yes," attach the statement required by Regulations section 53.4945-5(d) N/A

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? Yes No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? Yes 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? Yes No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? Yes No

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 9		0.	0.	0.

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

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

Total number of other employees paid over \$50,000 0

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

1 Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:			
a	Average monthly fair market value of securities	1a	9315223.
b	Average of monthly cash balances	1b	1215678.
c	Fair market value of all other assets	1c	275939.
d	Total (add lines 1a, b, and c)	1d	10806840.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	10806840.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	162103.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	10644737.
6	Minimum investment return. Enter 5% of line 5	6	532237.

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	532237.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	3146.
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	3146.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	529091.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	529091.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	529091.

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	520000.
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	
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	520000.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	3146.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	516854.

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				529091.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011				
b From 2012				
c From 2013				
d From 2014				
e From 2015	27562.			
f Total of lines 3a through e	27562.			
4 Qualifying distributions for 2016 from Part XII, line 4. ▶ \$ 520000.				
a Applied to 2015, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2016 distributable amount				520000.
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).)	9091.			9091.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	18471.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2015 Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	18471.			
10 Analysis of line 9:				
a Excess from 2012				
b Excess from 2013				
c Excess from 2014				
d Excess from 2015	18471.			
e Excess from 2016				

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

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2016, enter the date of the ruling ▶
 b Check box to indicate whether the foundation is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

	Tax year		Prior 3 years		(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
2 a 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 foundation had \$5,000 or more in assets at any time during the year-see instructions.)

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

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

NONE

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

a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed:
HARLAN E. ANDERSON, 203-544-8488
THE MAPLES PH, 179 OENOKE RIDGE RD, NE CANAAN, CT 06840

b The form in which applications should be submitted and information and materials they should include:
NO STANDARD FORMAT

c Any submission deadlines:
NONE

d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors:
LOCAL AREA PREFERENCE, ELDERLY AND EDUCATIONAL PROGRAMS PREFERRED.

Part XV Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
AIMS COMMUNITY COLLEGE 5401 WEST 20TH STREET GREELEY, CO 80634	NONE	PC	FOR CURRENT YEAR PROGRAMS	20000.
BOSTON SYMPHONY ORCHESTRA-ANNUAL FUND SYMPHONY HALL 450 MASSACHUSETTS AVENUE BOSTON, MA 02115-4511	NONE	PC	FOR CURRENT YEAR PROGRAMS	20000.
COLORADO FOURTEENERS INITIATIVE 1600 JACKSON STREET GOLDEN, CO 80401	NONE	PC	FOR CURRENT PROGRAMS	20000.
COMMUNITY FOUNDATION 3700 SIXTH ST SUITE 200 RIVERSIDE, CA 92501	NONE	PC	25TH ANNIVERSARY FUND	50000.
CONGREGATIONAL CHURCH 1 PARK STREET NEW CANAAN, CT 06840	NONE	PC	MARY BRADLEY CLARKE FUND	5000.
Total SEE CONTINUATION SHEET(S)				520000.
b Approved for future payment				
NONE				
Total				0.

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
DOCTORS WITHOUT BORDERS 333 7TH AVE NEW YORK, NY 10001	NONE	PC	FOR CURRENT YEAR PROGRAMS	40000.
ECOCYCLE P.O. BOX 19006 BOULDER, CO 80308	NONE	PC	FOR CURRENT YEAR PROGRAMS	10000.
GONZAGA UNIVERSITY 502 E BOONE AVE SPOKANE, WA 99202	NONE	PC	FOR CURRENT YEAR PROGRAMS	20000.
HABITAT FOR HUMANITY 121 HABITAT STREET AMERICUS, GA 31709	NONE	PC	FOR CURRENT YEAR PROGRAMS	40000.
MACULA FOUNDATION 210 EAST 64TH ST NEW YORK, NY 10065	NONE	PC	CURRENT YEAR PROGRAMS	5000.
MEMORIAL SLOAN KETTERING 1275 YORK AVE NEW YORK, NY 10065	NONE	PC	FOR CURRENT YEAR PROGRAMS	5000.
NEW CANAAN COMMUNITY FOUNDATION P.O. BOX 1285 NEW CANAAN, CT 06840	NONE	PC	FOR CURRENT YEAR PROGRAMS	10000.
NEW CANAAN LAND TRUST ACQUISITION P.O. BOX 425 NEW CANAAN, CT 06840	NONE	PC	FOR CURRENT YEAR PROGRAMS	30000.
NEW CANAAN LAND TRUST P.O. BOX 425 NEW CANAAN, CT 06840	NONE	PC	FOR CURRENT YEAR PROGRAMS	20000.
NEW CANAAN LIBRARY 151 MAIN STREET NEW CANAAN, CT 06840	NONE	PC	FOR CURRENT YEAR PROGRAMS	10000.
Total from continuation sheets				405000.

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
NEW CANAAN LIBRARY 151 MAIN STREET NEW CANAAN, CT 06840	NONE	PC	FOR CURRENT PROGRAMS	5000.
NEW VENTURE FUND 1201 CONNECTICUT AVE NW WASHINGTON, DC 20036	NONE	PC	SUPPORT FOR THE COLORADO RIVER SUSTAINABILITY CAMPAIGN PROJECT	30000.
NORTHWESTERN UNIVERSITY 2020 RIDGE AVENUE EVANSTON, IL 60208-4305	NONE	PC	FOR CURRENT YEAR PROGRAMS	20000.
NORWALK COMMUNITY COLLEGE FOUNDATION 188 RICHARDS AVENUE NORWALK, CT 06854	NONE	PC	FOR CURRENT YEAR PROGRAMS	20000.
OXFAM USA 226 CAUSEWAY STREET BOSTON, MA 02114	NONE	PC	FOR CURRENT YEAR PROGRAMS	30000.
RED ROCKS COMMUNITY COLLEGE FOUNDATION 13300 W. SIXTH AVE LAKEWOOD, CO 80228	NONE	PC	FOR CURRENT YEAR PROGRAMS	20000.
RENSSELAER POLYTECHNIC INSTITUTE 110 EIGHTH ST TROY, NY 12180-3590	NONE	PC	FOR CURRENT YEAR PROGRAMS	10000.
ST VRAIN HABITAT FOR HUMANITY P.O. BOX 333 LONGMONT, CO 80502	NONE	PC	FOR CURRENT YEAR PROGRAMS	30000.
UNION OF CONCERNED SCIENTISTS 2 BRATTLE SQUARE CAMBRIDGE, MA 02138	NONE	PC	FOR CURRENT YEAR PROGRAMS	10000.
UNIVERSITY OF ILLINOIS FOUNDATION 1305 WEST GREEN ST URBANA, IL 61801-2962	NONE	PC	LABORATORY FOR GLOBAL EDUCATION IN ENGINEERING ENDOWMENT FUND	20000.
Total from continuation sheets				

HARLAN E. ANDERSON FOUNDATION

EIN: 23-7011480

Statement to Part VII-A, Line 11

The Foundation owned a seventy percent (70%) interest as a member in Locust Realty Company LLC, a Connecticut limited liability company, EIN 26-0107648, with a mailing address c/o Susan Anderson, 8386 N. 95th Street, Longmont, Colorado 80504 ("Locust Realty") for a portion of the tax year. Locust Realty was dissolved during the tax year and the Foundation received its pro rata share of the Locust Realty assets. The Foundation's interest in Locust Realty was not an excess business holding because such interest was not a "business holding" as that term is defined in Section 4943 of the Internal Revenue Code of 1986, as amended (the "Code"). Section 4943(d)(3)(B) of the Code provides that the term "business enterprise" does not include a trade or business of which at least ninety-five percent (95%) of the gross income is derived from passive sources. Section 4943(d)(3)(B) further provides that gross income from passive sources includes the items of income excluded by Section 512(b)(1) (dividends and interest), Section 512(b)(2) (royalties), Section 512(b)(3) (rents) and Section 512(b)(5) (gains or losses from the sale, exchange or other disposition of property). Because at least ninety-five percent of the gross income of Locust Realty was derived from interest, dividends, rents and/or gains from the sale of property, it was not a "business holding" for purposes of Section 4943.

Harlan E. Anderson Foundation
 2016 Form 990-PF
 Part VII-A, Line 11

Statement of Information Regarding
 Controlled Entity

(A)	(B)	(C)	(D)
Name and Address of each controlled entity	Employer Identification Number	Description of Transfer	Amount of Transfer

a) Locust Realty Company LLC c/o Susan Anderson 8386 N 95th Street Longmont, CO 80504	26-0107648	Cash distribution from an LLC treated as a partnership for income tax purposes to Harlan E. Anderson Foundation in proportion to its 70% Interest	\$712,828.56
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FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
JP MORGAN CHASE BANK	164658.	561.	164097.	164097.	
JP MORGAN CHASE BANK	65906.	0.	65906.	65906.	
JP MORGAN CHASE BANK	9647.	0.	9647.	9647.	
TO PART I, LINE 4	240211.	561.	239650.	239650.	

FORM 990-PF OTHER INCOME STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
NONDIVIDEND DISTRIBUTION	3113.	3113.	
IRS REFUND	9597.	0.	
LOCUST REALTY LLC	-4121.	0.	
TOTAL TO FORM 990-PF, PART I, LINE 11	8589.	3113.	

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
GOODWIN PROCTER LLP	8945.	8945.		0.
ROCKEFELLER & CO	52790.	52790.		0.
TO FORM 990-PF, PG 1, LN 16C	61735.	61735.		0.

FORM 990-PF	TAXES			STATEMENT 4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES	13285.	13285.		0.
TO FORM 990-PF, PG 1, LN 18	13285.	13285.		0.

FORM 990-PF	OTHER EXPENSES			STATEMENT 5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
CUSTODIAN FEES	5147.	5147.		0.
BANK CHARGES	29.	29.		0.
COMMISSION/ADR FEE	57.	57.		0.
TO FORM 990-PF, PG 1, LN 23	5233.	5233.		0.

FORM 990-PF	OTHER INCREASES IN NET ASSETS OR FUND BALANCES	STATEMENT 6
DESCRIPTION		AMOUNT
LOCUST REALTY BUSINESS INC REP ON RETURN NOT REFLECTED ON BOOKS		4121.
BOOK VALUE ADJUSTMENT		1340.
TOTAL TO FORM 990-PF, PART III, LINE 3		5461.

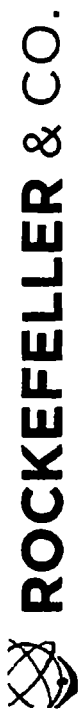
FORM 990-PF	CORPORATE STOCK		STATEMENT 7
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE	
SEE ATTACHED SCHEDULE	9710940.	10520317.	
TOTAL TO FORM 990-PF, PART II, LINE 10B	9710940.	10520317.	

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
FORM 990-PF	OTHER INVESTMENTS		STATEMENT 8
VARIOUS OTHER ASSETS	COST	39133.	39172.
TOTAL TO FORM 990-PF, PART II, LINE 13		39133.	39172.

FORM 990-PF PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS STATEMENT 9

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN-SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
HARLAN E. ANDERSON THE MAPLES PH, 179 OENOKE RIDGE RD NEW CANAAN, CT 06840	TRUSTEE 1.00	0.	0.	0.
LOIS J. ANDERSON THE MAPLES PH, 179 OENOKE RIDGE RD NEW CANAAN, CT 06840	TRUSTEE 1.00	0.	0.	0.
GREGORY S. ANDERSON 175 ALDER LANE BOULDER, CO 80304	TRUSTEE 1.00	0.	0.	0.
BRIAN A. ANDERSON P.O. BOX 2908 MONUMENT, CO 80132	TRUSTEE 1.00	0.	0.	0.
SUSAN E. ANDERSON 8386 N. 95TH STREET LONGMONT, CO 80504	TRUSTEE 1.00	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		0.	0.	0.

Prepared for
The Harlan E. Anderson Foundation - Total Relationship (R9194)
Period Ending December 31, 2016



The Harlan E. Anderson Foundation - Total Relationship (R9194)
Period Ending December 31, 2016

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Detailed Statement of Assets	2
Detailed Statement of Transactions	7
Legal Notice	11

The Harlan E. Anderson Foundation - Total Relationship (R9194)

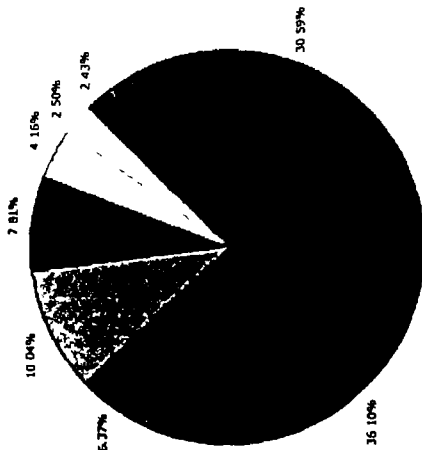
Period Ending December 31, 2016

Summary Asset Allocation

	Market Value	% of Value
<input checked="" type="checkbox"/> Cash and Cash Equivalents **	263,452	2.43
<input checked="" type="checkbox"/> Fixed Income		
<input checked="" type="checkbox"/> North America	3,310,632	30.59
<input checked="" type="checkbox"/> Equity		
<input checked="" type="checkbox"/> North America	3,906,867	36.10
<input checked="" type="checkbox"/> United Kingdom	689,903	6.37
<input checked="" type="checkbox"/> Europe ex United Kingdom	1,086,202	10.04
<input checked="" type="checkbox"/> Japan	844,995	7.81
<input checked="" type="checkbox"/> Asia ex Japan	105,210	0.97
<input checked="" type="checkbox"/> Emerging Markets Asia	450,240	4.16
<input checked="" type="checkbox"/> Emerging Markets Latin America	126,267	1.17
<input checked="" type="checkbox"/> Total Equity	7,209,685	66.61
<input checked="" type="checkbox"/> Other Assets	39,172	0.36
	10,822,941	100.00

Account Total:

- * - Items less than 2% of total account 2.50%
- ** - Settled cash is invested in JPM US Gov Inst MM



Change in Market Value Summary

	Month	YTD
Beginning Market Value	10,674,698	10,231,664
Dividends Earned *	18,726	161,530
Interest Earned *	4,896	55,261
Contributions & Withdrawals - Cash	(17)	134,835
Contributions & Withdrawals - Non Cash	0	0
Capital Appreciation	124,638	239,651
Ending Market Value	10,822,941	10,822,941

* - Income earned during the period is not necessarily received within the period

Tax Planning Summary

	Month	Fiscal Year to Date
Income	17,950	166,193
Qualified Dividends	93	1,456
Non Qualified Divs	2,281	54,814
Taxable Interest	(88)	(1,041)
Tax Exempt Interest		
Realized Gains/Losses		
Short Term	3,457	106
Long Term	38,852	169,690
Deductions/Credits		
Foreign Tax	(1,327)	(13,284)
Investment Expense	(17)	(57,994)

Cumulative Unrealized Gains/Losses as of 12/31/2016
 Long Term 759,338
 Short Term 50,039

ROCKEFELLER & CO.

The Harlan E. Anderson Foundation - Total Relationship (R9194)

Period Ending December 31, 2016

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Cash and Cash Equivalents								
Cash			263,452.10	263,452.10	0.00	2.43	0.00	0
Securities								
Fixed Income								
North America								
Bank of America Corp 5.3% Due 03/15/2017	90,000	100.77	90,677.40	90,697.05	19.65	0.84	5.26	4,770
BB&T Corporation 1.6% Due 08/15/2017 Call @ 100 07/14/17	111,000	100.11	111,145.62	111,125.65	(19.97)	1.03	1.60	1,776
Burlington North Santa Fe 7.95% Due 08/15/2030	65,000	142.23	92,260.90	92,448.79	187.89	0.85	5.59	5,168
Citigroup Inc 3.75% Due 06/16/2024	94,000	101.85	100,010.16	95,735.15	(4,275.01)	0.88	3.68	3,525
Connecticut State Special Tax Oblig Rev Buildr America Bnds-Trans Infras-B 4 376% Due 11/01/2021	75,000	106.76	80,444.72	80,066.25	(378.47)	0.74	4.10	3,282
Cvs Health Corp 2.25% Due 12/05/2018 Call @ 100 11/05/2018	66,000	100.88	66,759.64	66,578.49	(181.15)	0.62	2.23	1,485
Dallas-Fort Worth Texas Intl Ref Tax Jt 3.591% Due 11/01/2018	50,000	103.40	52,114.46	51,702.00	(412.46)	0.48	3.47	1,796
Fifth Third Bank 2.15% Due 08/20/2018 Call @ 100 07/20/2018	102,000	100.63	102,446.14	102,644.44	198.30	0.95	2.14	2,193
Goldman Sachs Group Inc 3.50% Due 01/23/2025 Call @ 100 10/23/2024	90,000	98.67	93,481.36	88,802.91	(4,678.45)	0.82	3.55	3,150
Home Depot Inc 5.875% Due 12/16/2036	93,000	126.34	114,323.13	117,492.67	3,169.54	1.09	4.65	5,464
JP Morgan Chase & Co. 6.00% Due 10/01/2017	88,000	103.20	90,701.86	90,814.59	112.73	0.84	5.81	5,280
Kroger Co. 7.50% Due 04/01/31	83,000	134.65	109,117.56	111,760.66	2,643.10	1.03	5.57	6,225
Las Vegas Vly Nevada Wtr Dist BAB Txbi Ser A Dir Pay 5.65% Due 03/01/2035	45,000	113.08	53,431.39	50,887.80	(2,543.59)	0.47	5.00	2,543
Los Angeles California Dept of Arpits A 2.794% Due 05/15/2023	75,000	99.17	74,409.54	74,379.75	(29.79)	0.69	2.82	2,096
Massachusetts St Hlth & Edu Facs Auth Rev Harvard Univ C 5.26% Due 10/1/2018	100,000	106.82	106,467.50	106,824.00	356.50	0.99	4.92	5,260
Met Transprtn Auth New York Dedicate Bui 7 336% Due 11/15/2039	80,000	145.39	124,864.97	116,309.60	(8,555.37)	1.07	5.05	5,869
Morgan Stanley 6.375% Due 07/24/2042	75,000	128.52	94,345.46	96,387.53	2,042.07	0.89	4.96	4,781
New York City NY Hsg Dev Corp Mf Rev Txbi-Ser I 1.507% Due 11/01/2017	100,000	100.16	100,318.98	100,164.00	(154.98)	0.93	1.50	1,507
New York St Environml Fac Corp Rev Txbi St Revolve Fds-Green Bonds-Ser C 3.72% Due 07/15/2029	75,000	102.22	75,916.68	76,661.25	744.57	0.71	3.64	2,790

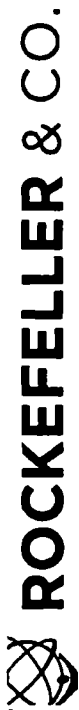
* - Settled cash is invested in JPM US Gov Inst MM; yield is estimated 170117.1 3380-R14

The Harlan E. Anderson Foundation - Total Relationship (R9194)

Period Ending December 31, 2016

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann Income
New York St Urban Dev Corp Rev Build Amenca Bonds-Txbl St Pers Inc Tx 5.36% Due 03/15/2024	50,000	114.15	56,350.10	57,074.00	723.90	0.53	4.70	2,680
New York, New York Txbl Ser B-3 3.55% Due 12/01/2028 Call @ 100 12/01/2026	75,000	100.55	75,686.73	75,413.25	(273.48)	0.70	3.53	2,663
NVR Inc Corp 3.95% Due 09/15/2022	64,000	101.91	67,779.95	65,225.54	(2,554.41)	0.60	3.88	2,528
San Diego California Regl Aprt Auth BAB Txbl Ser C 6.628% Due 07/01/2040 Callable 07/01/20 @ 100	25,000	112.79	27,684.41	28,197.50	513.09	0.26	5.88	1,657
US Treasury N/B TIPS 0.125% Due 04/15/2017	175,000	106.63	182,907.19	186,594.54	3,687.35	1.72	0.12	233
US Treasury N/B TIPS 1.125% Due 01/15/2021	331,000	115.92	381,925.14	383,683.41	1,758.27	3.55	1.07	4,115
Vanguard Mortgage Backed Securities ETF	11,543	52.29	613,431.81	603,583.47	(9,848.34)	5.58	1.80	10,850
Venzon Communications 6.00% Due 04/01/2041	85,000	114.86	98,206.83	97,629.13	(577.70)	0.90	5.22	5,100
Wachovia Corp 5.75% Due 02/01/2018	88,000	104.26	91,895.57	91,748.36	(147.21)	0.85	5.52	5,060
Total North America			3,329,105.20	3,310,631.78	(18,473.42)	30.59	3.14	103,843
Equity								
North America								
Abbott Laboratories	2,403	38.41	100,103.52	92,299.23	(7,804.29)	0.85	2.76	2,547
Alphabet Inc. - Class C	311	771.82	164,635.58	240,036.02	75,400.44	2.22	0.00	0
Amazon.Com Inc	169	749.87	120,120.93	126,728.03	6,607.10	1.17	0.00	0
Becton Dickinson & Co.	534	165.55	72,426.75	88,403.70	15,976.95	0.82	1.76	1,559
Biogen Idec Inc.	318	283.58	91,314.88	90,178.44	(1,136.44)	0.83	0.00	0
Cabot Oil & Gas Corporation -CI A	3,242	23.36	69,707.36	75,733.12	6,025.76	0.70	0.34	259
Capital One Financial Corp.	1,630	87.24	115,558.70	142,201.20	26,642.50	1.31	1.83	2,608
Cerner Corporation	1,979	47.37	115,054.37	93,745.23	(21,309.14)	0.87	0.00	0
ConocoPhillips	2,984	50.14	136,674.16	149,617.76	12,943.60	1.38	1.99	2,984
CVS Health Corporation	2,432	78.91	238,067.06	191,909.12	(46,157.94)	1.77	2.53	4,864
Delphi Automotive PLC	1,632	67.35	92,502.73	109,915.20	17,412.47	1.02	1.72	1,893
Facebook Inc	1,551	115.05	193,446.89	178,442.55	(15,004.34)	1.65	0.00	0
Illumina, Inc.	523	128.04	71,959.46	66,964.92	(4,994.54)	0.62	0.00	0
J.P. Morgan Chase & Co.	2,869	86.29	144,962.28	247,566.01	102,603.73	2.29	2.23	5,508
Kinder Morgan Inc.	7,764	20.71	120,107.52	160,792.44	40,684.92	1.49	2.41	3,882
Microsoft Corp	2,724	62.14	89,094.07	169,269.36	80,175.29	1.56	2.51	4,249
Nike Inc. - CL B	1,793	50.83	104,153.74	91,138.19	(13,015.55)	0.84	1.42	1,291



ROCKEFELLER & CO.

The Harlan E. Anderson Foundation - Total Relationship (R9194)

Period Ending December 31, 2016

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Oracle Corporation	3,119	38.45	111,307.04	119,925.55	8,618.51	1.11	1.56	1,871
Pentair, PLC	2,149	56.07	125,988.40	120,494.43	(5,493.97)	1.11	2.46	2,966
Regeneron Pharmaceuticals	197	367.09	55,483.37	72,316.73	16,833.36	0.67	0.00	0
Reinsurance Group of America, Inc.	1,326	125.83	103,026.47	166,850.58	63,824.11	1.54	1.30	2,175
Royal Caribbean Cruises Ltd.	2,236	82.04	142,236.98	183,441.44	41,204.46	1.69	2.34	4,293
Southwest Airlines Co	3,856	49.84	150,565.00	192,183.04	41,618.04	1.78	0.80	1,542
St. Jude Medical	846	80.19	45,839.30	67,840.74	22,001.44	0.63	1.55	1,049
Synchrony Financial	2,517	36.27	91,243.41	91,291.59	48.18	0.84	1.43	1,309
Ultragenyx Pharmaceutical Inc.	560	70.31	47,616.17	39,373.60	(8,242.57)	0.36	0.00	0
United Continental Holdings Inc	1,523	72.88	61,594.41	110,996.24	49,401.83	1.03	0.00	0
Visa Inc - Class A Shares	2,232	78.02	141,066.30	174,140.64	33,074.34	1.61	0.85	1,473
WEC Energy Group, Inc.	1,076	58.65	51,300.30	63,107.40	11,807.10	0.58	3.55	2,238
Wells Fargo Company	3,447	55.11	140,435.17	189,964.17	49,529.00	1.76	2.76	5,239
Total North America			3,307,592.32	3,906,866.67	599,274.35	36.10	1.43	55,802
United Kingdom								
Berkeley Group Holdings plc	2,014	34.71	72,231.75	69,913.61	(2,318.14)	0.65	7.12	4,980
BP PLC - Spons ADR	4,035	37.38	146,290.36	150,828.30	4,537.94	1.39	6.37	9,603
Compass Group PLC	7,571	18.56	139,821.96	140,487.96	666.00	1.30	2.13	2,995
Prudential plc	8,401	20.12	151,692.44	169,027.42	17,334.98	1.56	2.40	4,050
Shire PLC - ADR	937	170.38	160,676.34	159,646.06	(1,030.28)	1.48	0.47	750
Total United Kingdom			670,712.85	689,903.35	19,190.50	6.37	3.24	22,378
Europe ex United Kingdom								
ABN AMRO Group N.V. - CVA	3,333	22.20	68,845.74	74,000.26	5,154.52	0.68	0.00	0
Atlas Copco AB - A Shs	2,662	30.54	72,228.30	81,296.62	9,068.32	0.75	2.27	1,846
Compagnie de Saint-Gobain	2,259	46.68	100,202.22	105,444.63	5,242.41	0.97	2.80	2,955
HeidelbergCement AG	1,591	93.48	118,867.61	148,729.39	29,861.78	1.37	1.47	2,182
ING Groep N.V. - CVA	13,487	14.10	176,818.20	190,192.16	13,373.96	1.76	4.86	9,246
Luxotica Group S.p.A.	1,426	53.90	69,011.69	76,857.50	7,845.81	0.71	1.74	1,339
Novartis AG - ADR	1,864	72.84	141,821.33	135,773.76	(6,047.57)	1.25	3.16	4,287
Safran SA	2,104	72.17	116,524.61	151,835.97	35,311.36	1.40	2.15	3,262
SwedBank AB	5,035	24.24	97,258.06	122,071.82	24,813.76	1.13	4.86	5,929
Total Europe ex United Kingdom			961,577.76	1,086,202.11	124,624.35	10.04	2.86	31,045

The Harlan E. Anderson Foundation - Total Relationship (R9194)

Period Ending December 31, 2016

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Japan								
Amada Co. Ltd.	7,800	11.19	64,300.75	87,276.00	22,975.25	0.81	3.22	2,809
Kansai Electric Power Company	14,000	10.96	153,576.51	153,408.21	(168.30)	1.42	0.00	0
Kyocera Corporation	2,900	49.83	145,227.99	144,515.13	(712.86)	1.34	1.72	2,487
Nabtesco Corp.	2,200	23.31	46,142.22	51,288.69	5,146.47	0.47	1.84	943
NGK Spark Plug Co., Ltd.	2,900	22.28	49,252.38	64,599.16	15,346.78	0.60	1.62	1,044
Nippon Telegraph and Telephone Corp. (NTT)	4,200	42.12	140,298.05	176,887.59	36,589.54	1.63	2.44	4,321
Onx Corp.	7,200	15.64	109,353.60	112,602.25	3,248.65	1.04	2.80	3,148
Tokyo Gas Co., Ltd.	12,000	4.53	57,530.37	54,418.25	(3,112.12)	0.50	2.08	1,132
Total Japan			765,681.87	844,995.28	79,313.41	7.81	1.88	15,884
Asia ex Japan								
Tencent Holdings Limited	4,300	24.47	88,684.72	105,210.14	16,525.42	0.97	0.25	261
Emerging Markets Asia								
Baidu com, Inc.	462	164.41	76,337.60	75,957.42	(380.18)	0.70	0.00	0
Hyundai Motor Co., Ltd. - 2nd Preferred	382	82.52	26,079.31	31,520.98	5,441.67	0.29	4.12	1,300
Hyundai Motor Company	510	121.20	67,684.53	61,812.02	(5,872.51)	0.57	2.74	1,693
Hyundai Motor Company Ltd - PFD	117	79.44	8,729.68	9,294.96	565.28	0.09	4.23	393
Korea Electric Power Corporation (KEPCO)	4,797	36.57	173,706.48	175,414.53	1,708.05	1.62	7.04	12,345
PT Bank Rakyat Indonesia (Persero) Tbk	52,900	0.87	43,125.31	45,840.38	2,715.07	0.42	2.67	1,224
Samsung SDI Co., Ltd.	557	90.48	55,554.94	50,400.13	(5,154.81)	0.47	0.92	462
Total Emerging Markets Asia			451,217.85	450,240.42	(977.43)	4.16	3.87	17,418
Emerging Markets Latin America								
Cemex S.A. de C.V. Spons ADR	8,985	8.03	77,516.67	72,149.55	(5,367.12)	0.67	0.00	0
Grupo Financiero Banorte-Series O	10,900	4.96	58,851.19	54,117.79	(4,733.40)	0.50	0.00	0
Total Emerging Markets Latin America			136,367.86	126,267.34	(10,100.52)	1.17	0.00	0
Total Equity			6,381,835.23	7,209,685.31	827,850.08	66.61	1.98	142,788
Total Securities			9,710,940.43	10,520,317.09	809,376.66	97.20	2.34	246,631
Other Assets								
Accrued Dividends Receivable			14,176.18	14,176.18	0.00	0.13	N/A	N/A
Accrued Interest Receivable			24,863.68	24,863.68	0.00	0.23	N/A	N/A
Div Receivable - FX Value Adjustment			0.00	38.92	38.92	0.00	N/A	N/A
Dividends Receivable - MM Sweeps			92.82	92.82	0.00	0.00	N/A	N/A



ROCKEFELLER & CO.

The Harlan E. Anderson Foundation - Total Relationship (R9194)

Period Ending December 31, 2016

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Total Other Assets			39,132.68	39,171.60	38.92	0.96	0.00	0
Total Account:			10,013,525.21	10,822,940.79	809,415.58	100.00	2.28	246,631



The Harlan E. Anderson Foundation - Total Relationship (R9194)

Period from December 1, 2016 to December 31, 2016

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Beginning Cash Balance					335,481.34
Purchases					
12/01/2016	12/06/2016	75,000	99.21	CA Los Angeles 2 794% 05/15/23	(74,403.75)
12/02/2016	12/07/2016	141	35.54	BP PLC - Spons ADR	(5,012.90)
12/02/2016	12/07/2016	126	48.24	ConocoPhillips	(6,082.02)
12/02/2016	12/07/2016	34	115.32	Facebook Inc.	(3,921.49)
12/05/2016	12/08/2016	566	35.65	BP PLC - Spons ADR	(20,182.88)
12/05/2016	12/08/2016	315	49.69	ConocoPhillips	(15,660.38)
12/05/2016	12/08/2016	137	117.10	Facebook Inc.	(16,045.44)
12/06/2016	12/09/2016	1,345	8.10	Cemex S.A. de C.V. Spons ADR	(10,904.32)
12/06/2016	12/09/2016	187	49.30	ConocoPhillips	(9,222.67)
12/07/2016	12/12/2016	1,622	8.43	Cemex S.A. de C.V. Spons ADR	(13,681.41)
12/08/2016	12/13/2016	2,425	8.76	Cemex S.A. de C.V. Spons ADR	(21,249.31)
12/08/2016	12/20/2016	75,000	100.92	NY NYC 3 55% 12/01/28	(75,688.50)
12/09/2016	12/14/2016	1,797	8.81	Cemex S.A. de C.V. Spons ADR	(15,838.22)
12/09/2016	12/14/2016	895	36.44	Synchrony Financial	(32,628.57)
12/12/2016	12/15/2016	992	36.17	Synchrony Financial	(35,896.41)
12/13/2016	12/16/2016	1,796	8.82	Cemex S.A. de C.V. Spons ADR	(15,843.41)
12/13/2016	12/16/2016	1,200	5.12	Grupo Financiero Banorte-Serie	(6,144.71)
12/13/2016	12/16/2016	630	36.04	Synchrony Financial	(22,718.43)
12/14/2016	12/19/2016	2,500	5.04	Grupo Financiero Banorte-Serie	(12,606.47)
12/15/2016	12/20/2016	1,200	4.97	Grupo Financiero Banorte-Serie	(5,968.65)
12/20/2016	12/23/2016	86	373.44	Regeneron Pharmaceuticals	(32,119.25)
12/20/2016	12/22/2016	46	91.83	Samsung SDI Co., Ltd. (KRW -5024583.00)	** (4,228.56)
12/21/2016	12/27/2016	400	15.89	Orix Corp.	(6,365.82)
12/27/2016	12/30/2016	300	15.83	Orix Corp.	(4,752.91)
12/28/2016	01/04/2017	300	15.90	Orix Corp.	(4,775.22)
12/30/2016	01/06/2017	100	15.54	Orix Corp.	(1,555.97)
Total Purchases					** (473,497.67)
Sales					
12/01/2016	12/06/2016	25,000	105.09	UT St BAB 4.154% 07/01/19	26,273.00
12/02/2016	12/07/2016	102	59.25	Microsoft Corp	6,041.54
12/05/2016	12/08/2016	281	60.05	Microsoft Corp.	16,869.35

** - US dollar equivalent of transaction on trade date (not converted to USD)



The Harlan E. Anderson Foundation - Total Relationship (R9194)

Period from December 1, 2016 to December 31, 2016

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Sales (cont'd)					
12/06/2016	12/09/2016	319	68.54	Aflac, Inc.	21,857.37
12/06/2016	12/08/2016	144	89.82	HeidelbergCement AG	12,923.40
12/06/2016	12/09/2016	127	60.10	Microsoft Corp.	7,627.63
12/07/2016	12/09/2016	96	91.37	HeidelbergCement AG	8,764.79
12/08/2016	12/12/2016	48	92.47	HeidelbergCement AG	4,435.12
12/08/2016	12/13/2016	50,000	100.26	TX St Txb1-Ref 1 986 10/01/19	50,131.00
12/09/2016	12/14/2016	187	68.96	Aflac, Inc.	12,890.23
12/09/2016	12/14/2016	472	90.05	Capital One Financial Corp.	42,483.79
12/09/2016	12/14/2016	87	74.78	United Continental Hld Inc.	6,503.23
12/12/2016	12/15/2016	448	69.01	Aflac, Inc.	30,896.50
12/12/2016	12/15/2016	80	73.07	United Continental Hld. Inc.	5,842.98
12/13/2016	12/16/2016	300	237.03	SMC Corporation	70,967.65
12/15/2016	12/20/2016	167	76.27	United Continental Hld. Inc.	12,731.65
12/19/2016	12/21/2016	90	91.14	HeidelbergCement AG	8,196.27
12/20/2016	12/26/2016	100	23.10	NGK Spark Plug Co., Ltd.	2,307.41
12/21/2016	12/23/2016	48	90.70	HeidelbergCement AG	4,350.35
12/21/2016	12/27/2016	100	23.24	NGK Spark Plug Co., Ltd.	2,321.94
12/23/2016	12/28/2016	38	91.31	HeidelbergCement AG	3,466.95
12/27/2016	12/29/2016	48	91.54	HeidelbergCement AG	4,390.46
12/27/2016	12/30/2016	100	22.33	NGK Spark Plug Co., Ltd.	2,231.21
12/28/2016	12/30/2016	84	91.36	HeidelbergCement AG	7,662.31
12/28/2016	01/04/2017	100	22.44	NGK Spark Plug Co., Ltd.	2,241.90
12/29/2016	01/05/2017	100	22.37	NGK Spark Plug Co., Ltd.	2,235.01
12/30/2016	01/06/2017	100	22.36	NGK Spark Plug Co., Ltd.	2,233.87
Total Sales					378,876.91
Foreign Currency Contracts					
12/22/2016	12/22/2016			Buy 5,024,583 FX Spot Contract KRW SID 12/22/2016	(4,216.04)
Total Foreign Currency Contracts					(4,216.04)
Dividends Received					
* 09/28/2016	12/06/2016			Amada Co. Ltd.	1,640.07
* 09/28/2016	12/05/2016			Kyocera Corporation	1,275.49
* 09/28/2016	12/12/2016			Nippon Telegraph and Telephone	1,978.44
* 09/28/2016	12/02/2016			Orix Corp	545.47

Foreign Currency Contracts

Buy 5,024,583 FX Spot Contract KRW SID 12/22/2016

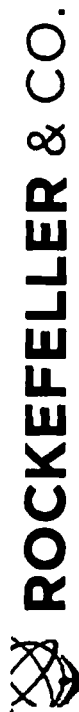
Total Foreign Currency Contracts

(4,216.04)

Dividends Received

* 09/28/2016	12/06/2016			Amada Co. Ltd.	1,640.07
* 09/28/2016	12/05/2016			Kyocera Corporation	1,275.49
* 09/28/2016	12/12/2016			Nippon Telegraph and Telephone	1,978.44
* 09/28/2016	12/02/2016			Orix Corp	545.47

* - Prior period activity recorded in the current period



The Harlan E. Anderson Foundation - Total Relationship (R9194)

Period from December 1, 2016 to December 31, 2016

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
* 09/28/2016	12/01/2016			SMC Corporation	262.45
* 10/13/2016	12/01/2016	0.25		ConocoPhillips	589.00
* 11/02/2016	12/01/2016	0.38		Wells Fargo Company	1,029.04
* 11/08/2016	12/16/2016	0.60		BP PLC - Spons ADR	1,996.80
* 11/09/2016	12/01/2016	0.50		WEC Energy Group, Inc.	1,040.00
* 11/14/2016	12/01/2016	0.43		Atiac, Inc.	410.22
* 11/15/2016	12/08/2016	0.39		Microsoft Corp.	1,261.26
* 11/16/2016	12/06/2016	0.17		Visa Inc - Class A Shares	368.28
12/01/2016	12/01/2016			Income received on Cash equivalents	72.15
12/01/2016	12/07/2016	0.07		Vanguard MBS ETF	808.01
12/07/2016	12/30/2016	0.73		Becton Dickinson & Co.	389.82
12/19/2016	12/21/2016			Safran SA	1,511.82
12/22/2016	12/29/2016			Vanguard MBS ETF	1,863.04
12/22/2016	12/29/2016			Vanguard MBS ETF	17.31
12/22/2016	12/29/2016	0.09		Vanguard MBS ETF	981.16
				Total Dividends Received	18,039.83
Interest Received					
12/01/2016	12/06/2016			UT St BAB 4.154% 07/01/19 (Sold interest)	447.13
12/05/2016	12/05/2016			Cvs Health Corp 2.25% 12/05/18	742.50
12/08/2016	12/13/2016			TX St Txbi-Ref 1 986 10/01/19 (Sold interest)	198.60
12/16/2016	12/16/2016			Citigroup 3.75% 06/16/24	1,762.50
12/16/2016	12/16/2016			Home Depot 5 875% 12/16/36	2,731.88
				Total Interest Received	5,882.61
Foreign Taxes Withheld and Reclaims					
* 09/28/2016	12/06/2016			Amada Co. Ltd NRA Expense	(251.17)
* 09/28/2016	12/05/2016			Kyocera Corporation NRA Expense	(195.34)
* 09/28/2016	12/12/2016			Nippon Telegraph and Telephone NRA Expense	(303.00)
* 09/28/2016	12/02/2016			Orix Corp. NRA Expense	(83.54)
* 09/28/2016	12/01/2016			SMC Corporation NRA Expense	(40.20)
* 11/08/2016	12/16/2016			BP PLC - Spons ADR Commission Fee	(16.64)
12/19/2016	12/21/2016			Safran SA NRA Expense	(453.55)
				Total Foreign Taxes Withheld and Reclaims	(1,343.44)

* - Prior period activity recorded in the current period



ROCKEFELLER & CO.

The Harlan E. Anderson Foundation - Total Relationship (R9194)

Period from December 1, 2016 to December 31, 2016

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
				Ending Cash Balance	259,223.54
				Adjustment for transactions not converted to USD	4,228.56
				Ending Cash Balance	263,452.10



The Harlan E. Anderson Foundation - Total Relationship (R9194)

Period Ending December 31, 2016

Legal Notice

Please review your statement in a timely manner and report any discrepancies or questions to your Rockefeller & Co., Inc. Client Advisor.

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In accordance with our regulatory obligations under the Investment Advisers Act of 1940, as amended, we are required to ask that you please compare the information in this statement with the statement(s) that you receive directly from your custodian to ensure that all account transactions are accurate. Please note that most custodians provide information on a settlement date basis while Rockefeller & Co., Inc. account statements reflect data on a trade date basis. In addition, money market balances held at the custodian are reflected as part of your cash balances on the Rockefeller & Co., Inc account statements.

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Estimated annual income is calculated based on the dividend or income expected to be received annually. Since interest and dividend rates may change at any time, it should not be relied upon for making investment decisions. In the case of private investment vehicles and other illiquid securities, it reflects the estimate of your share of the taxable income generated by the vehicle, not necessarily the amount of cash that you will receive annually.

Past performance is no guarantee of future results. No investment strategy can guarantee profit or protection from losses. Investment products are not FDIC insured and are not bank guaranteed.