

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

Name of foundation Harris & Frances Block Foundation Inc		A Employer identification number 31-1784246	
Number and street (or P O box number if mail is not delivered to street address) c/o Betsy Chodorkoff 491 Ennis Hill		Room/suite	B Telephone number (see instructions) (802) 426-3806
City or town, state or province, country, and ZIP or foreign postal code Marshfield, VT 05658		C If exemption application is pending, check here ☐	
G Check all that apply ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 10,869,255		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	
J Accounting method ☐ Cash ☒ Accrual ☐ Other (specify) (Part I, column (d) must be on cash basis)			

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	450,000			
	2 Check ☐ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities . . .	215,595	215,595		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	795,946			
	b Gross sales price for all assets on line 6a 2,959,650				
	7 Capital gain net income (from Part IV, line 2) . . .		795,946		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	252	-82		
	12 Total. Add lines 1 through 11	1,461,793	1,011,459		
	13 Compensation of officers, directors, trustees, etc	56,000	5,600		44,800
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits	3,825	383		3,060
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	9,345	6,602		2,245
	c Other professional fees (attach schedule)	56,671	56,671		
	17 Interest				
	18 Taxes (attach schedule) (see instructions) . . .	11,368	2,036		
	19 Depreciation (attach schedule) and depletion . . .	527			
	20 Occupancy				
	21 Travel, conferences, and meetings	8,158			8,158
	22 Printing and publications				
	23 Other expenses (attach schedule)	13,238	6,938		6,053
	24 Total operating and administrative expenses. Add lines 13 through 23	159,132	78,230		64,316
	25 Contributions, gifts, grants paid	590,873			590,873
	26 Total expenses and disbursements. Add lines 24 and 25	750,005	78,230		655,189
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	711,788			
	b Net investment income (if negative, enter -0-)		933,229		
c Adjusted net income (if negative, enter -0-)					

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)			
		Beginning of year (a) Book Value	End of year (b) Book Value (c) Fair Market Value		
Assets	1	Cash—non-interest-bearing	436	931	931
	2	Savings and temporary cash investments	834,097	781,670	781,670
	3	Accounts receivable ▶ <u>7,624</u>			
		Less allowance for doubtful accounts ▶ _____	1,025	7,624	7,624
	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)	747,724	1,246,019	1,246,019
	b	Investments—corporate stock (attach schedule)	6,852,105	7,693,202	7,693,202
	c	Investments—corporate bonds (attach schedule)	562,677	349,896	349,896
	11	Investments—land, buildings, and equipment basis ▶ _____			
	Less accumulated depreciation (attach schedule) ▶ _____				
12	Investments—mortgage loans				
13	Investments—other (attach schedule)	823,525	776,948	776,948	
14	Land, buildings, and equipment basis ▶ <u>7,355</u>				
	Less accumulated depreciation (attach schedule) ▶ <u>7,092</u>	790	263	263	
15	Other assets (describe ▶ _____)	3,027	12,702	12,702	
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	9,825,406	10,869,255	10,869,255	
Liabilities	17	Accounts payable and accrued expenses	3,502	1,666	
	18	Grants payable			
	19	Deferred revenue	630	572	
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)	4,132	2,238	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☒ and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted	9,821,274	10,867,017	
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☐ and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	Total net assets or fund balances (see instructions)	9,821,274	10,867,017	
31	Total liabilities and net assets/fund balances (see instructions) .	9,825,406	10,869,255		

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	9,821,274
2	Enter amount from Part I, line 27a	2	711,788
3	Other increases not included in line 2 (itemize) ▶ _____	3	333,955
4	Add lines 1, 2, and 3	4	10,867,017
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	10,867,017

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1 a Publicly traded securities			
b Publicly traded securities - LTCGD	P	2015-12-31	2016-12-31
c Publicly traded securities - STCGD	P	2016-01-01	2016-12-31
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 2,952,184	0	2,163,704	788,480
b 5,807	0	0	5,807
c 1,659	0	0	1,659
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a 0	0	0	788,480
b 0	0	0	5,807
c 0	0	0	1,659
d			
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	795,946
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	1,659

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	583,823	10,150,852	0 057515
2014	484,928	9,477,624	0 051166
2013	450,802	7,728,420	0 058330
2012	396,427	5,345,595	0 074160
2011	354,794	4,908,849	0 072276

2 Total of line 1, column (d)	2	0 313447
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 062689
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	10,288,070
5 Multiply line 4 by line 3	5	644,949
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	9,332
7 Add lines 5 and 6	7	654,281
8 Enter qualifying distributions from Part XII, line 4	8	655,189

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b	1	9,332
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	9,332
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	9,332
6	Credits/Payments		
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	17,000
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	2,000
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d.	7	19,000
8	Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	9,668
11	Enter the amount of line 10 to be Credited to 2017 estimated tax ☐ 0 Refunded ☐	11	9,668

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)? 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	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? If "Yes," attach a detailed description of the activities	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? If "Yes," attach a conformed copy of the changes	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	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T	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? If "Yes," complete Part II, col (c), and Part XV	7	Yes
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☐ VT		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation .	8b	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)? If "Yes," complete Part XIV	9	No
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	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		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <u>www.blockfound.org</u>	13	Yes	
14	The books are in care of <u>Tapia & Huckabay PC</u> Telephone no <u>(802) 870-7086</u>			

Located at 11 Main Street Suite B211 Vergennes VT ZIP+4 05491

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 <u>15</u>			
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 <u>▶</u>	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? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☒ Yes ☐ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? ☐ Organizations relying on a current notice regarding disaster assistance check here. ☐	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? ☐	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☒ No If "Yes," list the years <u>▶ 20____, 20____, 20____, 20____</u>			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions). ☐	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here <u>▶ 20____, 20____, 20____, 20____</u>			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016). ☐	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b		No

Part 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. ☐ Yes ☒ 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? ☐ Yes ☒ No If "Yes," attach the statement required by Regulations section 53.4945–5(d)	5b		
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	6b		No
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	7b		

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).				
(a) Name and address	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	(e) Expense account, other allowances
NANCY M SLUYS 197 Minglewood Road Westfield, NC 27053	President 1 00	3,000	0	0
BETSY M CHODORKOFF 491 Ennis Hill Road Marshfield, VT 05658	Treasurer 30 00	50,000	0	0
DIANE MAURER SCHATZ 2261 Jasmine Street Denver, CO 80207	Secretary 1 00	3,000	0	0
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	Title, and average hours per week (b) 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 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. ►		0

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1	
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	9,827,868
b	Average of monthly cash balances.	1b	616,873
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	10,444,741
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	10,444,741
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	156,671
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	10,288,070
6	Minimum investment return. Enter 5% of line 5.	6	514,404

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	514,404
2a	Tax on investment income for 2016 from Part VI, line 5.	2a	9,332
b	Income tax for 2016 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	9,332
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	505,072
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	505,072
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	505,072

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	655,189
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	4	655,189
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	9,332
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	645,857

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				505,072
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.				
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2016				
a From 2011. 113,972				
b From 2012. 130,925				
c From 2013. 70,981				
d From 2014. 24,441				
e From 2015. 93,182				
f Total of lines 3a through e.	433,501			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ 655,189				
a Applied to 2015, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2016 distributable amount.				495,738
e Remaining amount distributed out of corpus	159,451			
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	592,952			
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				9,334
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).	113,972			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	478,980			
10 Analysis of line 9				
a Excess from 2012. 130,925				
b Excess from 2013. 70,981				
c Excess from 2014. 24,441				
d Excess from 2015. 93,182				
e Excess from 2016. 159,451				

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))
NONE

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest
NONE

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

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

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

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

c Any submission deadlines

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

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> See Additional Data Table				
Total			3a	590,873
b <i>Approved for future payment</i>				
Total			3b	

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)
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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

Print/Type preparer's name WILLIAM S HUCKABAY CPA	Preparer's Signature	Date	Check if self-employed ► ☐	PTIN
Firm's name ► Tapia & Huckabay PC				Firm's EIN ►
Firm's address ► PO Box 38 Vergennes, VT 05491				Phone no (802) 870-7086

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
350 Colorado 2861 Ellison Place Boulder, CO 80304		PC	leadershipLocal teams anddevelopment	10,000
350 Vermont 255 South Champlain Street Suite 11 Burlington, VT 05401		PC	Local organizingand capacity building	10,000
Allegany JAM 450 North Main Street Sparta, NC 28675		PC	Music education	10,000
Appalachian Voices 812 East High Street Charlottesville, VA 22902		PC	Clean Power Plan andClean Energy Campaign	15,000
Blue Ridge Discovery Center 12627 Wilson Highway Mouth Of Wilson, VA 24363		PC	Environmentaleducation	15,000
Total 3a				590,873

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Center for an Agricultural Economy PO Box 422 Hardwick, VT 05843		PC	Access andCommunity FoodEducation	13,250
Chestnut Creek School of the Arts 100 North Main Street Galax, VA 24333		PC	AppalachianGalax JuniorMusicians	5,000
Citizens Awareness Network PO Box 83 Shelburne Falls, MA 01370		PC	Clean energy	7,500
Clean Water for North Carolina 29 1/2 Page Avenue Asheville, NC 28801		PC	Well Water Justicefor North Carolina	7,500
Composting Association of Vermont PO Box 112 Troy, VT 05868		PC	Manage Foodscraps andPolicy and Action toCompostable Materials	8,000
Total ▶ 3a				590,873

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Dogwood Alliance PO Box 7645 Asheville, NC 28802		PC	Forests Aren't Fuel	15,000
Energy Action Network 17 State Street Suite 205 Montpelier, VT 05602		PC	ImplementationEnergy TransportationStrategies	5,000
Energy Action Network 17 State Street Suite 205 Montpelier, VT 05602		PC	and OutreachEnergy CommunicationActivities	15,000
Gedakina Inc PO Box 2363 Amherst, MA 01004		PC	Natures Garden	10,000
Global Greengrants Fund 2840 Wilderness Place Suite A Boulder, CO 80301		PC	Niger Delta andoperating reserve	15,000
Total ▶ 3a				590,873

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Governors Institute of Vermont 4049 Williston Road 4 South Burlington, VT 05403		PC	and Youth ActivismCurrent IssuesInstitute	5,000
Greyston Foundation 21 Park Avenue Yonkers, NY 10703		PC	YonkersCommunity Gardens	4,000
Institute for Policy Studies 1112 16th Street NW Suite 600 Washington, DC 20036		PC	Other Words	10,000
Institute for Social Ecology PO Box 93 Plainfield, VT 05667		PC	and capacityClimate Justicebuilding	20,000
Intervale Center 180 Intervale Road Burlington, VT 05401		PC	Gleaning Project	7,500
Total 				590,873
3a				

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Junior Appalachian Musicians Inc PO Box 44 Independence, VA 24348		PC	ROOTS	15,000
Migrant Justice 294 North Winooski Avenue Burlington, VT 05401		PC	Milk with Dignity	20,000
Minglewood Farm and Nature Preserve 238 Minglewood Road Westfield, NC 27053		PC	agriculture education Nature and sustainableFarm to school programming	7,042
Mothers Out Front 30 Bow Street Cambridge, MA 02138		PC	VirginiaMothers Out FrontExpansion	10,000
Muckcross Day Camp 100 Mineral Street Springfield, VT 05156		PC	Summer camp	1,500
Total ▶ 3a				590,873

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
New England Grassroots Environment Fund PO Box 611 Newmarket, NH 03857		PC	for CentralCommunity HarvestVermont	5,000
New England Grassroots Environment Fund PO Box 611 Newmarket, NH 03857		PC	and Small GrantsGeneral SupportPool	15,000
Peace and Justice Center 60 Lake Street Suite 1C Burlington, VT 05401		PC	Working for Peaceand Nonviolence	5,000
Planned Parenthood of NNE 128 Lakeside Avenue Suite 301 Burlington, VT 05401		PC	Maine Chapter	20,000
Planned Parenthood of NNE 128 Lakeside Avenue Suite 301 Burlington, VT 05401		PC	Vermont Chapter	15,000
Total ▶ 3a				590,873

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Planned Parenthood of the Rocky Mountains 7155 East 38th Avenue Denver, CO 80207		PC	EmergencyRecovery	10,000
Planned Parenthood of the Rocky Mountains 7155 East 38th Avenue Denver, CO 80207		PC	Teen sex educationprogramming	10,000
Planned Parenthood South Atlantic 1704 Battleground Avenue Greensboro, NC 27408		PC	Teen sex educationprogramming	10,000
Refugee and Immigrant Fund 32-13 37th Street Astoria, NY 11103		PC	Recovery ProgramUrban FarmRIF Asylum Support	12,500
ReSource 266 Pine Street Burlington, VT 05401		PC	Reclamation andBuilding MaterialsSolid Waste Reduction	5,000
Total 				590,873
3a				

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Rich Earth Institute 44 Fuller Drive Brattleboro, VT 05301		PC	Nutrient Reclamation	5,000
Rights and Democracy Education Fund 70 South Winooski Avenue 205 Burlington, VT 05401		PC	Jobs, Justice & Climate	10,000
Rockefeller Family Fund 475 Riverside Drive Suite 900 New York, NY 10115		PC	for Safe EnergyIndependent CouncilFund	15,000
Rutland Area Farm and Food Link PO Box 284 Rutland, VT 05702		PC	The Glean Team	9,376
Salvation Farms PO Box 1174 Morrisville, VT 05661		PC	GleaningStatewideCooperative	15,000
Total 3a				590,873

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Sierra Club Foundation 85 Second Street Suite 750 San Francisco, CA 94105		PC	Dominion Campaign,New Power for OldVirginia Chapter	15,000
Sprout City Farms PO Box 181396 Denver, CO 80218		PC	Healthy Food AccessCommunity Farms in the City	10,000
The Chesapeake Climate Action Network 6930 Carroll Avenue Suite 720 Takoma Park, MD 20912		PC	Clean Energy	15,000
The North Branch Nature Center 713 Elm Street Montpelier, VT 05602		PC	ECO - EducatingChildren Outdoors	15,000
Thunder Valley Comm Dev Corp PO Box 290 Porcupine, SD 57772		PC	Standing RockEncampment	10,000
Total ▶ 3a				590,873

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Toxic Action Center 141 Main Street Suite 6 Montpelier, VT 05602		PC	Community Assistance	15,000
Turtle Island Children's Center 659 Elm Street Montpelier, VT 05602		PC	for low-incomeHealthy snack programchildren	2,000
Vermont Community Foundation 3 Court Street Middlebury, VT 05753		PC	Vermont FoodFunders Network	2,000
Vermont Community Garden Network 12 North Street Suite 5 Burlington, VT 05401		PC	Garden Educationand Outreach	5,000
Vermont Energy Education Program 250 Main Street LL2 Montpelier, VT 05602		PC	Activism & CommunicationGreen School Challenge Modules	10,000
Total ▶ 3a				590,873

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
Vermont Natural Resources Council 9 Bailey Avenue Montpelier, VT 05602		PC	and ClimateCommunity EnergyAction Project	20,000
Vermont Works for Women 32 Mallets Bay Avenue Winooski, VT 05404		PC	Food ServiceFRESHTraining Program	10,000
Virginia Organizing 703 Concord Avenue Charlottesville, VA 22903		PC	Clinch Coalition	3,705
Vital Communities 195 North Main Street White River Junction, VT 05001		PC	Residential HeatingUpper ValleyInitiative	10,000
Vermont Public Interest Research Group Ed Fund 141 Main Street Montpelier, VT 05602		PC	Carbon PollutionTax Campaign	15,000
Total ▶ 3a				590,873

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Western Colorado Congress 134 North 6th Street Grand Junction, CO 81501		PC	Climate change &Resource Extraction/Farm & Food	10,000
Total 				590,873
3a				

TY 2016 Accounting Fees Schedule**Name:** Harris & Frances Block Foundation Inc**EIN:** 31-1784246

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Accounting/Tax	8,719	6,539		1,744
Payroll service	626	63		501

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

TY 2016 Depreciation Schedule

Name: Harris & Frances Block Foundation Inc

EIN: 31-1784246

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
Laptop computer	2009-12-04	2,440	2,440	SL	5 00				
Laptop computer	2010-09-29	962	962	SL	3 00				
Laptop computer	2012-02-04	2,373	2,373	SL	3 00				
Mac computer	2014-07-18	1,580	790	SL	3 00	527			

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

TY 2016 Gain/Loss from Sale of Other Assets Schedule

Name: Harris & Frances Block Foundation Inc

EIN: 31-1784246

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
Securities					2,959,650	2,163,704			795,946	

TY 2016 Investments Corporate Bonds Schedule**Name:** Harris & Frances Block Foundation Inc**EIN:** 31-1784246

Name of Bond	End of Year Book Value	End of Year Fair Market Value
Ayers Brook Goat Dairy L3C 3% Note	110,639	110,639
Carrot Project: Greater Berkshires 1.190% Note	26,358	26,358
High Mowing Organic Seeds 3% Note	50,000	50,000
SUN Initiative Financing, LLC II 4.25% Note	25,000	25,000
The Skinny Pancake 5% Note	50,000	50,000
Vermont Community Loan Fund 1% Note	30,000	30,000
Vermont Natural Coatings, Inc. 4% Note	57,899	57,899

TY 2016 Investments Corporate Stock Schedule

Name: Harris & Frances Block Foundation Inc
EIN: 31-1784246

Name of Stock	End of Year Book Value	End of Year Fair Market Value
Amgen Incorporated 1,300	190,073	190,073
Apple Inc. 2,485	287,813	287,813
Automatic Data Processing Inc. 2,700	277,506	277,506
Bar Harbor Bankshares, Inc. 6,160	291,553	291,553
Century Bancorp 6,750	405,000	405,000
Cisco Systems, Inc. 8,150	246,293	246,293
Cooperative Regions of Organic Producer Pools CI E 500	25,000	25,000
Cree Inc. 2,690	70,989	70,989
CVS Health Corp. 3,000	236,730	236,730
Exactech, Inc. 9,555	260,852	260,852
Expeditors International of Washington, Inc. 4,700	248,912	248,912
First Solar Inc. 1,945	62,415	62,415
Genuine Parts Company 1,700	162,418	162,418
Gilead Sciences, Inc. 2,900	207,669	207,669
IBM Corp. 850	141,092	141,092
Intuit Inc. 3,400	389,674	389,674
Johnson & Johnson 1,935	222,931	222,931
Koninklijke Ahold N.V. 9,788	205,450	205,450
Life Storage Inc. 2,325	198,230	198,230
McCormick & Company Inc. 2,800	261,324	261,324
McKesson Corporation 1,100	154,495	154,495
Novo-Nordisk 5,000	179,300	179,300
Public Storage PFD Ser D 8,475	179,670	179,670
Quest Diagnostic Inc. 1,400	128,660	128,660
Sanofi 3,360	135,878	135,878
Shire PLC 377	64,233	64,233
Suez 12,500	184,273	184,273
Solar Communities Inc, dba SunCommon Pfd 75,000	141,750	141,750
Symantec Corporation 6,550	156,480	156,480
Telus Corporation 4,600	146,510	146,510

Name of Stock	End of Year Book Value	End of Year Fair Market Value
Tennant Company 3,300	234,960	234,960
Unilever 6,840	280,850	280,850
United Financial Bancorp 9,000	163,440	163,440
United Natural Foods, Inc. 5,900	281,548	281,548
Utah Medical Products, Inc. 3,512	255,498	255,498
Vermont Smoke & Cure 28,750	103,787	103,787
Wabtec Corporation 1,900	157,738	157,738
Whole Foods Market 3,300	101,508	101,508
Wiley John & Sons Inc. 4,600	250,700	250,700

TY 2016 Investments Government Obligations Schedule**Name:** Harris & Frances Block Foundation Inc**EIN:** 31-1784246**US Government Securities - End
of Year Book Value:**

1,246,019

**US Government Securities - End
of Year Fair Market Value:**

1,246,019

**State & Local Government
Securities - End of Year Book
Value:****State & Local Government
Securities - End of Year Fair
Market Value:**

TY 2016 Investments - Other Schedule**Name:** Harris & Frances Block Foundation Inc**EIN:** 31-1784246

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
Hannon Armstrong Sustainable Infrastructure Capital, Inc. 14,300		271,557	271,557
Income & Impact Fund, LLC		100,137	100,137
Liberty Property Trust REIT 5,000		197,500	197,500
Northeast Kingdom Tasting Center, LLC		48,141	48,141
Patient Capital Collaborative '11, LP		19,857	19,857
The Lyme Forest Fund III TE LP		35,321	35,321
The Lyme Forest Fund IV TE LP		48,082	48,082
VSJF Flexible Capital Fund, L3C		56,353	56,353

TY 2016 Land, Etc. Schedule

Name: Harris & Frances Block Foundation Inc

EIN: 31-1784246

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
Computer equipment	7,355	7,092	263	

TY 2016 Other Assets Schedule**Name:** Harris & Frances Block Foundation Inc**EIN:** 31-1784246**Other Assets Schedule**

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
Accrued Interest	3,027	3,034	3,034
Excise Tax Refund Receivable		9,668	9,668

TY 2016 Other Assets Schedule**Name:** Harris & Frances Block Foundation Inc**EIN:** 31-1784246**Other Assets Schedule**

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
Accrued Interest	3,027	3,034	3,034
Excise Tax Refund Receivable		9,668	9,668

TY 2016 Other Assets Schedule**Name:** Harris & Frances Block Foundation Inc**EIN:** 31-1784246**Other Assets Schedule**

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
Accrued Interest	3,027	3,034	3,034
Excise Tax Refund Receivable		9,668	9,668

TY 2016 Other Expenses Schedule**Name:** Harris & Frances Block Foundation Inc**EIN:** 31-1784246**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Investment expenses	6,558	6,558		
Membership fees	4,815			4,815
Office expenses	1,237	380		610
Technology	628			628

TY 2016 Other Income Schedule**Name:** Harris & Frances Block Foundation Inc**EIN:** 31-1784246**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
Ordinary gain from Partnerships	143	143	
Other partnership losses	-225	-225	
Excise Tax Refund	334		

TY 2016 Other Increases Schedule

Name: Harris & Frances Block Foundation Inc

EIN: 31-1784246

Description	Amount
Market value change on investments	333,955

TY 2016 Other Professional Fees Schedule**Name:** Harris & Frances Block Foundation Inc**EIN:** 31-1784246

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Clean Yield Investment Management	56,321	56,321		
Millennium Investment Management	350	350		

TY 2016 Taxes Schedule**Name:** Harris & Frances Block Foundation Inc**EIN:** 31-1784246

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Excise taxes	9,332			
Foreign taxes	2,036	2,036		

Schedule B (Form 990, 990-EZ, or 990-PF) Department of the Treasury Internal Revenue Service	Schedule of Contributors ▶ Attach to Form 990, 990-EZ, or 990-PF ▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at <u>www.irs.gov/form990</u>	OMB No 1545-0047 2016
	Name of the organization Harris & Frances Block Foundation Inc	Employer identification number 31-1784246

Organization type (check one)

Filers of:	Section:
Form 990 or 990-EZ	☐ 501(c)() (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust not treated as a private foundation
	☐ 527 political organization
Form 990-PF	☒ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.
Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions

General Rule

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or other property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year. ▶ \$ _____

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Employer identification number
31-1784246

Part I	Contributors (see instructions) Use duplicate copies of Part I if additional space is needed
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(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	THE ESTATE OF CAROL MAURER	\$ 450,000	Person ☒
	5578 Alkire Street		Payroll ☐
	Arvada, CO80002		Noncash ☐ (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-		\$	Person ☐
			Payroll ☐
			Noncash ☐ (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-		\$	Person ☐
			Payroll ☐
			Noncash ☐ (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-		\$	Person ☐
			Payroll ☐
			Noncash ☐ (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-		\$	Person ☐
			Payroll ☐
			Noncash ☐ (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-		\$	Person ☐
			Payroll ☐
			Noncash ☐ (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-		\$	Person ☐
			Payroll ☐
			Noncash ☐ (Complete Part II for noncash contributions)

Employer identification number

31-1784246

Part II	Noncash Property
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(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$ _____	_____

Name of organization Harris & Frances Block Foundation Inc	Employer identification number 31-1784246
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Part III	Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once. See instructions.) ▶ \$ _____ Use duplicate copies of Part III if additional space is needed
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(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	_____	_____	_____
	_____	_____	_____
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4	Relationship of transferor to transferee	
	_____	_____	_____
	_____	_____	_____
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4	Relationship of transferor to transferee	
	_____	_____	_____
	_____	_____	_____
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4	Relationship of transferor to transferee	
	_____	_____	_____
	_____	_____	_____
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4	Relationship of transferor to transferee	
	_____	_____	_____
	_____	_____	_____
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4	Relationship of transferor to transferee	
	_____	_____	_____
	_____	_____	_____
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4	Relationship of transferor to transferee	