



See a Social Security Number? Say Something!
Report Privacy Problems to <https://public.resource.org/privacy>
Or call the IRS Identity Theft Hotline at 1-800-908-4490



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

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

Do not enter social security numbers on this form as it may be made public.

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

OMB No 1545-0052

2016

Open to Public Inspection

For calendar year 2016 or tax year beginning

, 2016, and ending

, 20

Name of foundation HORACE DAWSON FOUNDATION		A Employer identification number 36-6059767
Number and street (or P O box number if mail is not delivered to street address) 900 UNIVERSITY STREET		B Telephone number (see instructions) (206) 922-2641
Room/suite 903		
City or town, state or province, country, and ZIP or foreign postal code SEATTLE, WA 98101		
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change		C If exemption application is pending check here. <input type="checkbox"/> D 1 Foreign organizations, check here. <input type="checkbox"/> 2 Foreign organizations meeting the 85% test, check here and attach computation. <input type="checkbox"/> E If private foundation status was terminated under section 507(b)(1)(A), check here. <input type="checkbox"/> F If the foundation is in a 60-month termination under section 507(b)(1)(B) check here. <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		
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 1,681,385. J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis)		

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)	24,910.			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B.				
	3 Interest on savings and temporary cash investments.	14.	14.		ATCH 1
	4 Dividends and interest from securities	49,202.	49,202.		ATCH 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	336,118.			
	b Gross sales price for all assets on line 6a	709,104.			
	7 Capital gain net income (from Part IV, line 2)		336,118.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule) ATCH. 3	1,004.	1,004.			
12 Total. Add lines 1 through 11	411,248.	386,338.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.	4,200.	2,100.		2,100.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule) ATCH. 4	75.	75.		
	b Accounting fees (attach schedule) ATCH. 5	5,450.	2,725.		2,725.
	c Other professional fees (attach schedule) [6]	150.	150.		
	17 Interest				
	18 Taxes (attach schedule) (see instructions) [7]	73.			
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule) ATCH. 8	187.			187.
	24 Total operating and administrative expenses. Add lines 13 through 23.	10,135.	5,050.		5,012.
	25 Contributions, gifts, grants paid	71,650.			71,650.
26 Total expenses and disbursements. Add lines 24 and 25	81,785.	5,050.	0.	76,662.	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	329,463.				
b Net investment income (if negative, enter -0-)		381,288.			
c Adjusted net income (if negative, enter -0-)					

g44

5

SCANNED NOV 1 4 2017

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
				(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing		77,448.	265,738.	265,738.
	2	Savings and temporary cash investments				
	3	Accounts receivable ▶				
		Less allowance for doubtful accounts ▶				
	4	Pledges receivable ▶				
		Less allowance for doubtful accounts ▶				
	5	Grants receivable.				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7	Other notes and loans receivable (attach schedule) ▶				
		Less allowance for doubtful accounts ▶				
	8	Inventories for sale or use.				
	9	Prepaid expenses and deferred charges				
	10a	Investments - U S and state government obligations (attach schedule).				
	b	Investments - corporate stock (attach schedule) ATCH. 9	487,544.	727,022.	1,184,623.	
	c	Investments - corporate bonds (attach schedule) ATCH. 10	141,068.	141,068.	148,612.	
	11	Investments - land, buildings, and equipment basis Less accumulated depreciation (attach schedule) ▶				
12	Investments - mortgage loans					
13	Investments - other (attach schedule) ATCH. 11	199,860.	86,284.	82,412.		
14	Land, buildings, and equipment basis Less accumulated depreciation (attach schedule) ▶					
15	Other assets (describe ▶)					
16	Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)	905,920.	1,220,112.	1,681,385.		
Liabilities	17	Accounts payable and accrued expenses				
	18	Grants payable.				
	19	Deferred revenue.				
	20	Loans from officers, directors, trustees, and other disqualified persons.				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe ▶)				
23	Total liabilities (add lines 17 through 22)	0.	0.			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.					
	24	Unrestricted	905,920.	1,220,112.		
	25	Temporarily restricted				
	26	Permanently restricted				
	Foundations that do not follow SFAS 117, check here <input type="checkbox"/> and complete lines 27 through 31.					
	27	Capital stock, trust principal, or current funds				
	28	Paid-in or capital surplus, or land, bldg, and equipment fund				
	29	Retained earnings, accumulated income, endowment, or other funds				
30	Total net assets or fund balances (see instructions)	905,920.	1,220,112.			
31	Total liabilities and net assets/fund balances (see instructions)	905,920.	1,220,112.			

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	905,920.
2	Enter amount from Part I, line 27a	2	329,463.
3	Other increases not included in line 2 (itemize) ▶ ATCH 12	3	50,736.
4	Add lines 1, 2, and 3	4	1,286,119.
5	Decreases not included in line 2 (itemize) ▶ ATCH 13	5	66,007.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	1,220,112.

Form 990-PF (2016)

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 SEE PART IV SCHEDULE					
b					
c					
d					
e					
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)		
a					
b					
c					
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					
b					
c					
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	336,118.	
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	0.	

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.

(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	76,192.	1,555,856.	0.048971
2014	73,465.	1,577,562.	0.046569
2013	66,641.	1,495,450.	0.044563
2012	64,834.	1,357,166.	0.047772
2011	56,570.	1,318,074.	0.042919
2 Total of line 1, column (d)			2 0.230794
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 0.046159
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5			4 1,600,913.
5 Multiply line 4 by line 3.			5 73,897.
6 Enter 1% of net investment income (1% of Part I, line 27b).			6 3,813.
7 Add lines 5 and 6.			7 77,710.
8 Enter qualifying distributions from Part XII, line 4. If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.			8 76,662.

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 type="checkbox"/> and enter 1% of Part I, line 27b		1	7,626.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	
3 Add lines 1 and 2		3	7,626.
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	7,626.
6 Credits/Payments			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a	1,040.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c	4,000.	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	5,040.	
8 Enter any penalty for underpayment of estimated tax. Check here <input 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	2,586.	
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 type="checkbox"/>	11		

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the 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		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____		
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		X
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		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		X
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
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?	X	
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	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> IL, <input type="checkbox"/>		
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	X	
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		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

Form 990-PF (2016)

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).	11	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)	12	X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ N/A	13	X
14 The books are in care of ▶ JEANNETTE D. KAHLENBERG Telephone no ▶ (206) 922-2641 Located at ▶ 900 UNIVERSITY STREET, APT 903 SEATTLE, WA ZIP+4 ▶ 98101-3721		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year. ▶ 15		
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	X
See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ▶		

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

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

	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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b	X
Organizations relying on a current notice regarding disaster assistance check here ▶ <input type="checkbox"/>		
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	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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶		
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 ▶		
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)	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	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?	4b	X

Form 990-PF (2016)

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)? ☐ **5b**

Organizations relying on a current notice regarding disaster assistance check here ☐

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)

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? ☐ **6b** X

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ **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	(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
ATCH 14		4,200.	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	(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. ☐

Form 990-PF (2016)

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."

[illegible]

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

Part IX-A Summary of Direct Charitable Activities

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

Expenses

1	NONE	
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	NONE	
2		
All other program-related investments See instructions		
3	NONE	

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	1,482,329.
b	Average of monthly cash balances	1b	142,963.
c	Fair market value of all other assets (see instructions).	1c	
d	Total (add lines 1a, b, and c)	1d	1,625,292.
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	1,625,292.
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	24,379.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	1,600,913.
6	Minimum investment return. Enter 5% of line 5	6	80,046.

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	80,046.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	7,626.
b	Income tax for 2016 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	7,626.
3	Distributable amount before adjustments Subtract line 2c from line 1	3	72,420.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	72,420.
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	72,420.

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	76,662.
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	76,662.
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	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	76,662.

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				72,420.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			76,063.	
b Total for prior years 20 <u>14</u> , 20 <u>13</u> , 20 <u>12</u>				
3 Excess distributions carryover, if any, to 2016				
a From 2011				
b From 2012				
c From 2013				
d From 2014				
e From 2015				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ <u>76,662.</u>				
a Applied to 2015, but not more than line 2a			76,063.	
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.				599.
e Remaining amount distributed out of corpus.				
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				
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.				71,821.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9				
a Excess from 2012				
b Excess from 2013				
c Excess from 2014				
d Excess from 2015				
e Excess from 2016				

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

NOT APPLICABLE

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))

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 e-mail 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 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 ATCH 15				
Total ▶ 3a				71,650.
b Approved for future payment				
Total ▶ 3b				

Enter gross amounts unless otherwise indicated

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

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)
--------------	--

This image shows a single sheet of white paper with horizontal blue or grey ruling lines. A vertical line runs down the left side, creating a narrow margin. The paper appears to be from a notebook or a standard sheet of stationery. There are no markings, text, or drawings on the page.

Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?		Yes	No
a	Transfers from the reporting foundation to a noncharitable exempt organization of		
	(1) Cash	1a(1)	X
	(2) Other assets	1a(2)	X
b	Other transactions		
	(1) Sales of assets to a noncharitable exempt organization	1b(1)	X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)	X
	(3) Rental of facilities, equipment, or other assets	1b(3)	X
	(4) Reimbursement arrangements	1b(4)	X
	(5) Loans or loan guarantees	1b(5)	X
	(6) Performance of services or membership or fundraising solicitations	1b(6)	X
	c Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c	X
d	If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.		

[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
N/A		

**Sign
Here**

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

Signature of officer or trustee

Date _____

SECRETARY/TREASURER
Title

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

**Paid
Preparer
Use Only**

Print/Type preparer's name

KELLEY SIMON

Preparer's signature _____

Kelley Jr

Date

06/30/17

Check ☐ self-employed

PTIN

P00791436

Firm's name	▶ ERNST & YOUNG U.S. LLP
-------------	--------------------------

Firm's address ► 370 17TH STREET, SUITE 3300

DENVER, CO

80202

Phone no 720-931-4000

Form **990-PF** (2016)

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis	Gain or (loss)	
21,800.		PEPCO HLDGS INC 800 SHS PROPERTY TYPE: SECURITIES 18,848.				09/11/1986 2,952.	03/28/2016
47,882.		FT 4656 DIVID 4,902 SHS PROPERTY TYPE: SECURITIES 49,964.				05/09/2014 -2,082.	03/17/2016
57,763.		AT&T INC 1,509 SHS PROPERTY TYPE: SECURITIES 2,787.				09/14/1977 54,976.	05/25/2016
96,992.		CONOCOPHILLIPS 2,184 SHS PROPERTY TYPE: SECURITIES 7,517.				03/24/1962 89,475.	05/25/2016
44,882.		POWERSHARES PREFERRED 3,015 SHS PROPERTY TYPE: SECURITIES 44,983.				09/25/2012 -101.	05/25/2016
78,770.		NEXTERA ENERGY INC 667 SHS PROPERTY TYPE: SECURITIES 13,101.				12/30/1993 65,669.	05/25/2016
82,305.		NORFLOK SOUTHERN CORP 1,000 SHS PROPERTY TYPE: SECURITIES 98,547.				03/31/2014 -16,242.	05/25/2016
59,192.		SP500 ARN ISSUER BAC 5,500 SHS PROPERTY TYPE: SECURITIES 55,000.				07/30/2015 4,192.	09/30/2016
37,883.		AT&T INC 1,018 SHS PROPERTY TYPE: SECURITIES 1,892.				09/14/1977 35,991.	11/21/2016
71,651.		NEXTERA ENERGY INC 633 SHS PROPERTY TYPE: SECURITIES 12,433.				12/30/1993 59,218.	11/21/2016
56,160.		WEC ENERGY GROUP INC 1,015 SHS PROPERTY TYPE: SECURITIES 7,990.				12/14/1971 48,170.	11/21/2016
53,824.		FT UNIT 5083 DIVID 5,741 SHS PROPERTY TYPE: SECURITIES 59,933.				11/19/2014 -6,109.	11/01/2016

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		ADVANSIX INC CASH IN LIEU PROPERTY TYPE: SECURITIES -9.					10/11/2016 9.	
TOTAL GAIN (LOSS)							<u>336,118.</u>	

Schedule B(Form 990, 990-EZ,
or 990-PF)
Department of the Treasury
Internal Revenue Service**Schedule of Contributors**

OMB No 1545-0047

2016▶ **Attach to Form 990, Form 990-EZ, or Form 990-PF.**▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at www.irs.gov/form990**Name of the organization**

HORACE DAWSON FOUNDATION

Employer identification number

36-6059767

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 foundationCheck 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 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 33 1/3 % 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. Don't 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 isn't covered by the General Rule and/or the Special Rules doesn't 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 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization **HORACE DAWSON FOUNDATION**

Employer identification number

Part I Contributors (See instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	JEANNETTE D. KAHLENBERG 900 UNIVERSITY STREET, APT. 903 SEATTLE, WA 98101	\$ 24,910.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

Employer identification number

[illegible]

Name of organization **HORACE DAWSON FOUNDATION**

Employer identification number

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.

(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

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

ATTACHMENT 1

FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
MERRILL LYNCH EMA INVESTMENTS	14.	14.
TOTAL	<u>14.</u>	<u>14.</u>

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

ATTACHMENT 2

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
MERRILL LYNCH EMA INVESTMENTS DIVIDENDS	49,202.	49,202.
TOTAL	<u>49,202.</u>	<u>49,202.</u>

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

ATTACHMENT 3

FORM 990PF, PART I ~ OTHER INCOME

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
FIA CARD SVCS	1,004.	1,004.
TOTALS	<u>1,004.</u>	<u>1,004.</u>

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

ATTACHMENT 4

FORM 990PF, PART I - LEGAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
LEGAL FEES	75.	75.		
TOTALS	<u>75.</u>	<u>75.</u>		

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

ATTACHMENT 5

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
TAX PREPARATION - EY	5,450.	2,725.		2,725.
TOTALS	<u>5,450.</u>	<u>2,725.</u>		<u>2,725.</u>

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

ATTACHMENT 6

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
MERRILL LYNCH BANK FEES	150.	150.
TOTALS	<u>150.</u>	<u>150.</u>

ATTACHMENT 7FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>
2016 ESTIMATED TAX PAYMENT	73.
TOTALS	<u>73.</u>

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

ATTACHMENT 8

FORM 990PF, PART I - OTHER EXPENSES

<u>DESCRIPTION</u>	REVENUE AND EXPENSES <u>PER BOOKS</u>	CHARITABLE <u>PURPOSES</u>
IL SECRETARY OF STATE FILING	10.	10.
IL CHARITY BUREAU FUND	15.	15.
BANK CARD FEES	162.	162.
TOTALS	<u>187.</u>	<u>187.</u>

ATTACHMENT 9FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
AT&T (BELLSOUTH) - 2000 SHS	6,561.	5,247.	85,060.
ABBOTT LABS - 620 SHS		24,982.	23,814.
ADVANSIX INC SHS - 8		124.	177.
APPLE INC - 253		115.	29,302.
VERIZON - 1,984 SHS	33,117.	33,116.	105,906.
HONEYWELL INTL INC DEL - 215		24,844.	24,908.
NEXTERA ENERGY - 700 SHS	39,283.	13,749.	83,622.
PHILLIPS 66 SHS - 1092 SHS	2,234.	2,234.	94,360.
BOEING COMPANY - 300 SHS	39,251.	39,251.	46,704.
MCDONALDS CORP - 300 SHS	30,853.	30,854.	36,516.
HOME DEPOT INC - 185		24,975.	24,805.
SP500 ARN ISSUER CS - 5919 SHS	55,000.	59,190.	57,769.
3M COMPANY - 1000 SHS	136,987.	136,988.	178,570.
WEC ENERGY GROUP INC-2030 SHS	15,981.	7,990.	59,530.
INTL BUSINESS MACHINES CORP IB		24,572.	26,558.
JP MORGAN CHASE & CO - 690		49,830.	59,540.
JOHNSON & JOHNSON COM - 215		24,669.	24,770.
KIMBERLY CLARK - 190		24,507.	21,683.
ELI LILLY & CO - 325		24,574.	23,904.
MEDTRONIC PLC SHS - 310		25,269.	22,081.
MICROSOFT CORP - 400		24,651.	24,856.
PEPSICO INC - 250		25,546.	26,158.
PROCTER & GAMBLE CO - 300		24,758.	25,224.
QUALCOMM INC - 440		24,923.	28,688.
TARGET CORP COM - 320		24,825.	23,114.
WELLS FARGO & CO NEW DEL - 490		25,239.	27,004.
CONOCOPHILLIPS - 2184	7,517.		
PEPCO HOLDINGS - 800	18,848.		
AT&T (SBC) - 2,026 SHS	3,365.		

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

ATTACHMENT 9 (CONT'D)

FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
NORFOLK SOUTHERN CORP 1000 SHS	98,547.		
TOTALS	<u>487,544.</u>	<u>727,022.</u>	<u>1,184,623.</u>

ATTACHMENT 10FORM 990PF, PART II - CORPORATE BONDS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
BELL ATLANTIC PENN BONDS 50,000 UNITS 6% DEC 1, 2028	49,068.	49,068.	52,621.
GENERAL ELECTRIC CAP CORP SER NOTE - 50,000 SHS	50,000.	50,000.	51,274.
GENERAL ELECTRIC CAP CORP SER NOTE - 42,000 SHS	42,000.	42,000.	44,717.
TOTALS	<u>141,068.</u>	<u>141,068.</u>	<u>148,612.</u>

ATTACHMENT 11FORM 990PF, PART II - OTHER INVESTMENTS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
SPDR WELLS FARGO PDF ETF	44,914.	44,914.	40,901.
PROSHARES S&P 500		41,370.	41,511.
POWERSHARES PREFERRED	44,983.		
FT 4656 DIVID SER 22	49,975.		
FT UNIT 5083 DIVID SER 25	59,988.		
TOTALS	<u>199,860.</u>	<u>86,284.</u>	<u>82,412.</u>

ATTACHMENT 12FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCESDESCRIPTIONAMOUNT

2016 OUTSTANDING CHECKS AND FEES

50,736.

TOTAL

50,736.

ATTACHMENT 13FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCESDESCRIPTIONAMOUNT

2015 CONTRIBUTION CHECKS CLEARED

41,212.

GIFT OF 253 APPLE SHS FROM J. KAHLENBERG

24,795.

TOTAL

66,007.

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 14

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
JEANNETTE D KAHLBERG 900 UNIVERSITY STREET, APT 903 SEATTLE, WA 98101	SEC /TREAS 2.00	4,200	0.	0.
H ANDREW ALKIRE 10 SPARROW COURT PLEASANT HILL, CA 94523	DIRECTOR 1 00	0.	0.	0
JOY KAHLBERG FALLON 63 BEACON ST BOSTON, MA 02642	DIRECTOR 1 00	0.	0.	0
MARGARET D. ALKIRE 51 ROLLING GREEN CIRCLE PLEASANT HILL, CA 94523	PRESIDENT 1.00	0.	0	0
TRUDI K. PICCIANO 6206 30TH AVENUE NE SEATTLE, WA 98115	DIRECTOR 1 00	0	0.	0.
RICHARD D KAHLBERG 6333 LENOX ROAD BETHESDA, MD 20817	DIRECTOR 1 00	0.	0	0.

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 14 (CONT'D)

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
ROBERT L ALKIRE 4318 EAST BLANTON ROAD TUCSON, AZ 95712	DIRECTOR 1.00	0.	0	0
ELIZABETH A CHABIN 8090 E FORT LOWELL ROAD TUCSON, AZ 85719	DIRECTOR 1 00	0.	0.	0.
	GRAND TOTALS	<u>4,200.</u>	<u>0.</u>	<u>0.</u>

HOPACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEARATTACHMENT 15

<u>RECIPIENT NAME AND ADDRESS</u>	<u>RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT</u>	<u>PURPOSE OF GRANT OR CONTRIBUTION</u>	<u>AMOUNT</u>
CHUPCH WORLD SERVICE 28606 PHILLIPS ST ELKHART, IN 46515	NONE PC	SUPPORT PROGRAM SERVICE	1,000
CLINICA AMISTAD Y SALUD PO BOX 27284 TUCSON, AZ 85726	NONE PC	SUPPORT PROGRAM SERVICE	1,000
COLLEGE PARK HOLIDAY OUTPEACH 201 VIKING DRIVE PLEASANT HILL, CA 94523	NONE PC	SUPPORT PROGRAM SERVICE	700
COLLEGE PARK HIGH SCHOOL SPORTS BOOSTERS 201 VIKING DRIVE PLEASANT HILL, CA 94523	NONE PC	GIPLS LACROSSE PROGRAM	1,000
DHARMA RAIN ZEN CENTER PO BOX 13325 PORTLAND, OR 97213	NONE PC	SUPPORT PROGRAM SERVICE	1,000
DOCTORS WITHOUT BORDERS 333 SEVENTH AVE NEW YORK, NY 10001	NONE PC	SUPPORT PROGRAM SERVICE	1,000

HOPACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 15 (CONT'D)

<u>RECIPIENT NAME AND ADDRESS</u>	<u>RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR</u> <u>AND</u> <u>FOUNDATION STATUS OF RECIPIENT</u>		<u>PURPOSE OF GRANT OR CONTRIBUTION</u>	<u>AMOUNT</u>
ECCLESIA MINISTRIES/ COMMON CATHEDRAL PO BOX 51003 BOSTON, MA 2205	NONE PC		SUPPORT PROGRAM SERVICE	1,425
FOOD BANK OF CONTRA COSTA & SOLANO PO BOX 6324 CONCORD, CA 94524	NONE PC		SUPPORT PROGRAM SERVICE	2,700
FOUNDATION FOR PLEASANT HILL EDUCATION PO BOX 23851 PLEASANT HILL, CA 94523	NONE PC		SUPPORT PROGRAM SERVICE	1,000
GENEVA FOUNDATION OF PRESBYTERIAN HOMES 3200 GRANT STREET EVANSTON, IL 60201	NONE SO I		EMPLOYEE EDUCATION FUND	5,000
GUTTMACHER INSTITUTE 125 MAIDEN LANE SUITE 100 NEW YORK, NY 10036	NONE PC		SUPPORT PROGRAM SERVICE	500
HABITAT FOR HUMANITY 121 HABITAT STREET AMERICUS, GA 31709-3498	NONE PC		SUPPORT PROGRAM SERVICE	500

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 15 (CONT'D)

<u>RECIPIENT NAME AND ADDRESS</u>	<u>RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT</u>	<u>PURPOSE OF GRANT OR CONTRIBUTION</u>	<u>AMOUNT</u>
HIGH HOPES HEAD INJURY PROGRAM 2953 EDINGER AVENUE TUSTIN, CA 92780	NONE PC	SUPPORT PROGRAM SERVICE	5,000
HORIZON HOUSE 900 UNIVERSITY ST SEATTLE, WA 98101	NONE PC	RESIDENTS' ASSISTANCE FUND	1,000
INTERFAITH COUNCIL OF CONTRA COSTA 1543 SUNNYVALE AVENUE WALNUT CREEK, CA 94597	NONE PC	WINTER NIGHTS SHELTER	1,000
HUDSON COMMUNITY FOOD PANTRY INC P O BOX 608 HUDSON, MA 01759	NONE PC	SUPPORT PROGRAM SERVICE	1,425
HUMANE SOCIETY OF SOUTHER ARIZONA 3450 N KELVIN BLVD TUCSON, AZ 85716	NONE PC	SUPPORT PROGRAM SERVICE	1,000
JULIE AND MICHAEL TRACY FOUNDATION 1212 W FLOURNOY ST SUITE 100 CHICAGO, IL 60607	NONE PC	SUPPORT PROGRAM SERVICE	300

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 15 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
KJZZ NATIONAL PUBLIC RADIO 2323 W 14TH STREET TEMPE, AZ 85281	NONE PC	SUPPORT PROGRAM SERVICE	700
LINX 125 WESTERN AVENUE BOSTON, MA 02134	NONE PC	SUPPORT PROGRAM SERVICE	2,500
MARYVILLE COLLEGE 502 E LAMAR ALEXANDER PARKWAY MARYVILLE, TN 37804	NONE PC	DAWSON FUND IN MEMORY OF WILLIAM R AND HORACE	5,000
MUSCULAR DYSTROPHY ASSOCIATION 222 S RIVERSIDE PLAZA, SUITE 1500 CHICAGO, IL 60606	NONE PC	SUPPORT PROGRAM SERVICE	3,700
NAMI SOUTHERN ARIZONA 6122 E 22ND ST TUCSON, AZ 85711	NONE PC	SUPPORT PROGRAM SERVICE	600
NATURAL RESOURCES DEFENSE COUNCIL 40 WEST 20TH STREET NEW YORK, NY 10011-4211	NONE PC	SUPPORT PROGRAM SERVICE	1,500

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

FORM 990, PART IV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 15 (CONT'D)

<u>RECIPIENT NAME AND ADDRESS</u>	<u>RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT</u>	<u>PURPOSE OF GRANT OR CONTRIBUTION</u>	<u>AMOUNT</u>
PAT TILMAN FOUNDATION 217 N JEFFERSON ST SUITE 602 CHICAGO, IL 60661	NONE PC	SUPPORT PROGRAM SERVICE	1,000
PEPAH EDUCATIONAL OPPORTUNITIES FOUNDATION 2354 SUE ANN DRIVE LANCASTER, PA 17602	NONE PC	SUPPORT PROGRAM SERVICE	1,200
PLANNED PARENTHOOD FEDERATION OF AMERICA 434 W 33RD ST NEW YORK, NY 10001	NONE PC	SUPPORT PROGRAM SERVICE	5,600
SCOTCH RIDGE PRESBYTERIAN CHURCH 13015 SCOTCH RIDGE RD CARLISLE, IA 50047	NONE PC	SUPPORT PROGRAM SERVICE	1,000
SEATTLE TILTH 4649 SUNNYSIDE AVE N, SUITE 100 SEATTLE, WA 98103	NONE PC	SUPPORT PROGRAM SERVICE	250
SIMPSON COLLEGE 701 NORTH C STREET INDIANOLA, IA 50125	NONE PC	THE FRANCES L DAWSON SCHOLARSHIP FUND	5,000

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 15 (CONT'D)

<u>RECIPIENT NAME AND ADDRESS</u>	<u>RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT</u>	<u>PURPOSE OF GRANT OR CONTRIBUTION</u>	<u>AMOUNT</u>
ST JUDE CHILDREN S PESEARCH HOSPITAL 262 DANNY THOMAS PLACE MEMPHIS, TN 38105	NONE PC	SUPPORT PROGRAM SERVICE	2,000
UNITED STREET MINISTRY, TEEN FEED 4740-B UNIVEPSITY WAY NE SEATTLE, WA 98105	NONE PC	SUPPORT PROGRAM SERVICE	250
UNIVERSITY CONGPEGATIONAL UNITED CHURCH OF CHRIST 4515 16TH AVE N E SUITE 1204 SEATTLE, WA 98105	NONE PC	SUPPORT PPROGRAM SERVICE	600
UNIVEPSITY DISTRICT FOOD BANK 4731 15TH AVE NE SEATTLE, WA 98105	NONE PC	SUPPORT PROGRAM SERVICE	1,300
WHITMAN HIGH SCHOOL EDUCATION FOUNDATION PO BOX 58 CABIN JOHN, MD 20618	NONE PC	SUPPORT PROGRAM SERVICE	1,000
WOUNDED WAPRIOR PROJECT 4899 BELFORT ROAD JACKSONVILLE, FL 32256	NONE PC	SUPPORT PPROGRAM SERVICE	2,000

HORACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 15 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND

<u>RECIPIENT NAME AND ADDRESS</u>	<u>FOUNDATION STATUS OF RECIPIENT</u>	<u>PURPOSE OF GRANT OR CONTRIBUTION</u>	<u>AMOUNT</u>
ALZHEIMER'S ASSOCIATION P O BOX 96011 WASHINGTON, DC 20090-6011	NONE PC	SUPPORT PROGRAM SERVICE	1,000
ARIZONA PUBLIC MEDIA 1423 E UNIVERSITY BLVD #225 TUCSON, AZ 85721	NONE PC	SUPPORT PROGRAM SERVICE	700
BAY AREA CRISIS NURSEPY 1506 MENDOCINO DRIVE CONCORD, CA 94521	NONE PC	SUPPORT PROGRAM SERVICE	1,000
CHAUTAUQUA INSTITUTION P O BOX 28 CHAUTAUQUA, NY 14722	NONE PC	KAHLENBERG LECTURESHIP FUND	5,000
CHILDREN'S DEFENSE FUND 25 E STREET, N W WASHINGTON, DC 20001	NONE PC	SUPPORT PROGRAM SERVICE	500
THE CENTURY FOUNDATION ONE WHITEHALL ST, 15TH FLOOR NEW YORK, NY 10004	NONE PC	SUPPORT PROGRAM SERVICE	1,000

HOPACE DAWSON FOUNDATION

2016 FORM 990-PF

36-6059767

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 15 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND

RECIPIENT NAME AND ADDRESS

FOUNDATION STATUS OF RECIPIENT

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

ESPERANZA DANCE PROJECT
248 WEST 35TH ST, 10TH FLOOR
NEW YORK, NY 10001

NONE
PC

SUPPORT PPROGRAM SERVICE

700

TOTAL CONTRIBUTIONS PAID

71,650