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

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

▶ 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](http://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 <b>CAPLIN FOUNDATION</b>		<b>A</b> Employer identification number 52-6078981
Number and street (or P O box number if mail is not delivered to street address) <b>ONE THOMAS CIRCLE, N.W.</b>		<b>B</b> Telephone number (see instructions) (202) 862-5000
City or town, state or province, country, and ZIP or foreign postal code <b>WASHINGTON, DC 20005</b>		<b>C</b> If exemption application is pending, check here. <input type="checkbox"/>
<b>G</b> Check all that apply <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change		<b>D</b> 1 Foreign organizations, check here. <input type="checkbox"/> 2 Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
<b>H</b> 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		<b>E</b> If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
<b>I</b> Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ <b>4,105,166.</b>		<b>F</b> If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
<b>J</b> 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)		

<b>Part I Analysis of Revenue and Expenses</b> (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)
<b>1</b> Contributions, gifts, grants, etc., received (attach schedule)		662,509.			
<b>2</b> Check <input type="checkbox"/> if the foundation is not required to attach Sch. B.					
<b>3</b> Interest on savings and temporary cash investments.					
<b>4</b> Dividends and interest from securities		39,829.	32,393.		ATCH 1
<b>5a</b> Gross rents					
<b>b</b> Net rental income or (loss)					
<b>6a</b> Net gain or (loss) from sale of assets not on line 10		16,204.			
<b>b</b> Gross sales price for all assets on line 6a 300,595.					
<b>7</b> Capital gain net income (from Part IV, line 2)			16,204.		
<b>8</b> Net short-term capital gain.					
<b>9</b> Income modifications					
<b>10a</b> Gross sales less returns and allowances					
<b>b</b> Less Cost of goods sold					
<b>c</b> Gross profit or (loss) (attach schedule)					
<b>11</b> Other income (attach schedule) ATCH 2		7,660.	7,660.		
<b>12</b> Total. Add lines 1 through 11		726,202.	56,257.		
<b>13</b> Compensation of officers, directors, trustees, etc.		0.			
<b>14</b> Other employee salaries and wages					
<b>15</b> Pension plans, employee benefits					
<b>16a</b> Legal fees (attach schedule)					
<b>b</b> Accounting fees (attach schedule) ATCH 3		5,680.			5,680.
<b>c</b> Other professional fees (attach schedule) [4]		12,110.	12,110.		
<b>17</b> Interest					
<b>18</b> Taxes (attach schedule) (see instructions) [5]		296.	46.		
<b>19</b> Depreciation (attach schedule) and depletion					
<b>20</b> Occupancy					
<b>21</b> Travel, conferences, and meetings		1,487.			
<b>22</b> Printing and publications					
<b>23</b> Other expenses (attach schedule)					
<b>24</b> Total operating and administrative expenses. Add lines 13 through 23.		19,573.	12,156.		5,680.
<b>25</b> Contributions, gifts, grants paid		230,500.			230,500.
<b>26</b> Total expenses and disbursements Add lines 24 and 25		250,073.	12,156.	0.	236,180.
<b>27</b> Subtract line 26 from line 12					
<b>a</b> Excess of revenue over expenses and disbursements		476,129.			
<b>b</b> Net investment income (if negative, enter -0-)			44,101.		
<b>c</b> Adjusted net income (if negative, enter -0-)					

837 3

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 . . . . .				
	2	Savings and temporary cash investments . . . . .	378,304.	489,181.	489,181.	
	3	Accounts receivable ▶ 529.		529.	529.	
		Less allowance for doubtful accounts ▶				
	4	Pledges receivable ▶				
		Less allowance for doubtful accounts ▶				
	5	Grants receivable . . . . .				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . .				
	7	Other notes and loans receivable (attach schedule) ▶				
		Less allowance for doubtful accounts ▶				
	8	Inventories for sale or use . . . . .				
	9	Prepaid expenses and deferred charges . . . . .				
	10a	Investments - U S and state government obligations (attach schedule) . .				
	b	Investments - corporate stock (attach schedule) . . . . .				
	c	Investments - corporate bonds (attach schedule) . . . . .				
	11	Investments - land, buildings, and equipment basis ▶				
	Less accumulated depreciation (attach schedule) ▶					
12	Investments - mortgage loans . . . . .					
13	Investments - other (attach schedule) . . . . . ATCH. 6	895,454.	831,952.	3,615,456.		
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) . . . . .	1,273,758.	1,321,662.	4,105,166.		
Liabilities	17	Accounts payable and accrued expenses . . . . .				
	18	Grants payable . . . . .				
	19	Deferred revenue . . . . .				
	20	Loans from officers, directors, trustees, and other disqualified persons . .				
	21	Mortgages and other notes payable (attach schedule) . . . . .				
	22	Other liabilities (describe ▶) . . . . .				
23	Total liabilities (add lines 17 through 22) . . . . .	0.	0.			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here, ▶ <input type="checkbox"/>					
	and complete lines 24 through 26 and lines 30 and 31.					
	24	Unrestricted . . . . .				
	25	Temporarily restricted . . . . .				
	26	Permanently restricted . . . . .				
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input checked="" type="checkbox"/>					
	27	Capital stock, trust principal, or current funds . . . . .	1,809,719.	1,809,719.		
	28	Paid-in or capital surplus, or land, bldg, and equipment fund . . . . .				
	29	Retained earnings, accumulated income, endowment, or other funds . . . .	-535,961.	-488,057.		
30	Total net assets or fund balances (see instructions) . . . . .	1,273,758.	1,321,662.			
31	Total liabilities and net assets/fund balances (see instructions) . . . . .	1,273,758.	1,321,662.			

## 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	1,273,758.
2	Enter amount from Part I, line 27a . . . . .	2	476,129.
3	Other increases not included in line 2 (itemize) ▶ ATCH 7	3	2,541.
4	Add lines 1, 2, and 3 . . . . .	4	1,752,428.
5	Decreases not included in line 2 (itemize) ▶ ATCH 8	5	430,766.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 . . . .	6	1,321,662.

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**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.)
<b>1 a</b> SEE PART IV SCHEDULE					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
(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)		
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
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))		
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					
<b>2</b> 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 }			<b>2</b>	16,204.	
<b>3</b> 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 . . . . .			<b>3</b>	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.

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	123,730.	3,178,074.	0.038932
2014	137,872.	2,804,812.	0.049156
2013	134,325.	2,528,829.	0.053117
2012	215,719.	2,407,413.	0.089606
2011	244,733.	2,566,758.	0.095347
<b>2</b> Total of line 1, column (d) . . . . .			<b>2</b> 0.326158
<b>3</b> 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. . . . .			<b>3</b> 0.065232
<b>4</b> Enter the net value of noncharitable-use assets for 2016 from Part X, line 5 . . . . .			<b>4</b> 3,430,922.
<b>5</b> Multiply line 4 by line 3. . . . .			<b>5</b> 223,806.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b). . . . .			<b>6</b> 441.
<b>7</b> Add lines 5 and 6. . . . .			<b>7</b> 224,247.
<b>8</b> 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			<b>8</b> 236,180.

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. . . . . Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b. . . . .		1	441.
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	441.
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	441.
6 Credits/Payments			
a 2016 estimated tax payments and 2015 overpayment credited to 2016. . . . .	6a	1,630.	
b Exempt foreign organizations - tax withheld at source. . . . .	6b		
c Tax paid with application for extension of time to file (Form 8868). . . . .	6c		
d Backup withholding erroneously withheld. . . . .	6d		
7 Total credits and payments. Add lines 6a through 6d. . . . .	7	1,630.	
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		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid. . . . .	10	1,189.	
11 Enter the amount of line 10 to be Credited to 2017 estimated tax. 1,189. Refunded. . . . .	11		

**Part VII-A Statements Regarding Activities**

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? . . . . .		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 \$ _____ (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		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) ► DC,		
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	

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**Part VII-A Statements Regarding Activities (continued)**

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11	Yes	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		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <u>WWW.GUIDESTAR.ORG</u>	13	X	
14	The books are in care of <u>MORTIMER M. CAPLIN</u> Telephone no <u>202-862-5000</u> Located at <u>ONE THOMAS CIRCLE, NW WASHINGTON, DC</u> ZIP+4 <u>20005</u>			
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 <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 the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country <u></u>	16	Yes	No
				X

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

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

1a	During the year did the foundation (either directly or indirectly)		Yes	No
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/>	1b		X
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? If "Yes," list the years <u></u>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	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></u>			
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

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**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 9		0.	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.** ☐

**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors** (continued)**3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE."**

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		

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

**Part IX-A Summary of Direct Charitable Activities**

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

	Expenses
<b>1</b> N/A	
<b>2</b>	
<b>3</b>	
<b>4</b>	

**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
<b>1</b> NONE	
<b>2</b>	
All other program-related investments See instructions	
<b>3</b> NONE	

Total. Add lines 1 through 3 . . . . . ▶

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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
<b>a</b>	Average monthly fair market value of securities	<b>1a</b>	3,036,837.
<b>b</b>	Average of monthly cash balances	<b>1b</b>	433,726.
<b>c</b>	Fair market value of all other assets (see instructions)	<b>1c</b>	12,607.
<b>d</b>	Total (add lines 1a, b, and c)	<b>1d</b>	3,483,170.
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1e</b>	
<b>2</b>	Acquisition indebtedness applicable to line 1 assets	<b>2</b>	
<b>3</b>	Subtract line 2 from line 1d	<b>3</b>	3,483,170.
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	52,248.
<b>5</b>	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	3,430,922.
<b>6</b>	Minimum investment return. Enter 5% of line 5	<b>6</b>	171,546.

**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)

<b>1</b>	Minimum investment return from Part X, line 6	<b>1</b>	171,546.
<b>2a</b>	Tax on investment income for 2016 from Part VI, line 5	<b>2a</b>	441.
<b>b</b>	Income tax for 2016 (This does not include the tax from Part VI)	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b	<b>2c</b>	441.
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	171,105.
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	
<b>5</b>	Add lines 3 and 4	<b>5</b>	171,105.
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	
<b>7</b>	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	<b>7</b>	171,105.

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
<b>a</b>	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	<b>1a</b>	236,180.
<b>b</b>	Program-related investments - total from Part IX-B	<b>1b</b>	
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the:		
<b>a</b>	Suitability test (prior IRS approval required)	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule)	<b>3b</b>	
<b>4</b>	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	236,180.
<b>5</b>	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)	<b>5</b>	441.
<b>6</b>	Adjusted qualifying distributions. Subtract line 5 from line 4	<b>6</b>	235,739.

**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.

Form 990-PF (2016)

Page **9****Part XIII Undistributed Income (see instructions)**

	(a) Corpus	(b) Years prior to 2015	(c) 2015	(d) 2016
<b>1</b> Distributable amount for 2016 from Part XI, line 7 . . . . .				171,105.
<b>2</b> Undistributed income, if any, as of the end of 2016				
<b>a</b> Enter amount for 2015 only. . . . .				
<b>b</b> Total for prior years 20 <u>14</u> , 20 <u>13</u> , 20 <u>12</u> . . . . .				
<b>3</b> Excess distributions carryover, if any, to 2016				
<b>a</b> From 2011 . . . . .	124,869.			
<b>b</b> From 2012 . . . . .	95,749.			
<b>c</b> From 2013 . . . . .	8,424.			
<b>d</b> From 2014 . . . . .	3,996.			
<b>e</b> From 2015 . . . . .				
<b>f</b> Total of lines 3a through e . . . . .	233,038.			
<b>4</b> Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ <u>236,180.</u>				
<b>a</b> Applied to 2015, but not more than line 2a . . . . .				
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions). . . . .				
<b>c</b> Treated as distributions out of corpus (Election required - see instructions) . . . . .				
<b>d</b> Applied to 2016 distributable amount. . . . .				171,105.
<b>e</b> Remaining amount distributed out of corpus. . . . .	65,075.			
<b>5</b> Excess distributions carryover applied to 2016 . (If an amount appears in column (d), the same amount must be shown in column (a) )				
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5 . . . . .	298,113.			
<b>b</b> Prior years' undistributed income Subtract line 4b from line 2b. . . . .				
<b>c</b> 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 . . . . .				
<b>d</b> Subtract line 6c from line 6b Taxable amount - see instructions . . . . .				
<b>e</b> Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount - see instructions . . . . .				
<b>f</b> Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017. . . . .				
<b>7</b> 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) . . . . .				
<b>8</b> Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions) . . . . .	124,869.			
<b>9</b> Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a . . . . .	173,244.			
<b>10</b> Analysis of line 9				
<b>a</b> Excess from 2012 . . . . .	95,749.			
<b>b</b> Excess from 2013 . . . . .	8,424.			
<b>c</b> Excess from 2014 . . . . .	3,996.			
<b>d</b> Excess from 2015 . . . . .				
<b>e</b> Excess from 2016 . . . . .	65,075.			

Form **990-PF** (2016)

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

NOT APPLICABLE

**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 foundation is a private operating foundation described in section

4942(j)(3) or

4942(j)(5)

**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).)

MORTIMER M. CAPLIN

**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

N/A

**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

ATCH 10

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

SEE ATT'D

**c Any submission deadlines**

SEE ATT'D

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

SEE ATT'D

**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
<b>a Paid during the year</b>  ATCH 11				
<b>Total</b> . . . . .			<b>3a</b>	230,500.
<b>b Approved for future payment</b>				
<b>Total</b> . . . . .			<b>3b</b>	

## Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions )
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount		
1 Program service revenue						
a _____						
b _____						
c _____						
d _____						
e _____						
f _____						
g Fees and contracts from government agencies						
2 Membership dues and assessments . . . . .						
3 Interest on savings and temporary cash investments .						
4 Dividends and interest from securities . . . . .			14	39,829.		
5 Net rental income or (loss) from real estate						
a Debt-financed property . . . . .						
b Not debt-financed property . . . . .						
6 Net rental income or (loss) from personal property. .						
7 Other investment income . . . . .						
8 Gain or (loss) from sales of assets other than inventory			18	16,204.		
9 Net income or (loss) from special events . . .						
10 Gross profit or (loss) from sales of inventory. . .						
11 Other revenue a _____						
b ATCH 12 _____		7,660.				
c _____						
d _____						
e _____						
12 Subtotal Add columns (b), (d), and (e) . . . . .		7,660.		56,033.		
13 Total. Add line 12, columns (b), (d), and (e) . . . . .					13	63,693.

(See worksheet in line 13 instructions to verify calculations )

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

[illegible]

## 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 |
|--|--------------|-----|----|
| <b>a Transfers from the reporting foundation to a noncharitable exempt organization of:</b>  |              |     |    |
| (1) Cash . . . . .   | <b>1a(1)</b> |     | X  |
| (2) Other assets . . . . .   | <b>1a(2)</b> |     | X  |
| <b>b Other transactions:</b>   |              |     |    |
| (1) Sales of assets to a noncharitable exempt organization . . . . .   | <b>1b(1)</b> |     | X  |
| (2) Purchases of assets from a noncharitable exempt organization . . . . .   | <b>1b(2)</b> |     | X  |
| (3) Rental of facilities, equipment, or other assets . . . . .   | <b>1b(3)</b> |     | X  |
| (4) Reimbursement arrangements . . . . .   | <b>1b(4)</b> |     | X  |
| (5) Loans or loan guarantees . . . . .   | <b>1b(5)</b> |     | X  |
| (6) Performance of services or membership or fundraising solicitations . . . . .   | <b>1b(6)</b> |     | X  |
| c Sharing of facilities, equipment, mailing lists, other assets, or paid employees . . . . .   | <b>1c</b>    |     | 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

**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 \_\_\_\_\_

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	
----------------------------	--

JOAN C HOLTZ

Preparer's signature

Joan C Haby

Date \_\_\_\_\_

5/23/2017

Check	
-------	--

--	--	--

self-employed

PTIN

P00836429

Firm's name ► BDO USA, LLP

► BDO USA, LLP

Firm's EIN

▶ 13-5381590

Firm's address ► 8401 GREENSBORO DRIVE, #800

▶ 8401 GREENSBORO DRIVE, #800

22102

Phone no.

703-893-0600

Form **990-PF** (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)	
25.		FORTIVE CORP (CASH/LIEU)					07/11/2016 25.	07/11/2016
55,210.		ML #4202 - SEE ATTD 9,140.					01/01/2016 46,070.	12/31/2016
245,360.		ML #4202 - SEE ATTD 275,251.					01/01/2015 -29,891.	12/31/2016
TOTAL GAIN(LOSS) .....							<u>16,204.</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](http://www.irs.gov/form990).

Name of the organization

CAPLIN FOUNDATION

Employer identification number

52-6078981

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 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).

For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.

Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Name of organization **CAPLIN 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	MORTIMER CAPLIN 5610 WISCONSIN AVE, APT 18E CHEVY CHASE, MD 20185	\$ 218,429.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
2	MORTIMER CAPLIN 5610 WISCONSIN AVE, APT 18E CHEVY CHASE, MD 20185	\$ 331,878.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
3	MORTIMER CAPLIN 5610 WISCONSIN AVE, APT 18E CHEVY CHASE, MD 20185	\$ 112,202.	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)

Name of organization **CAPLIN FOUNDATION**

Employer identification number

**Part II** **Noncash Property** (See instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
<u>2</u>	4,113 SHS DANAHER CORP. _____ _____ _____	\$ <u>331,878.</u>	<u>11/10/2016</u>
<u>3</u>	2,058 SHS FORTIVE CORP. _____ _____ _____	\$ <u>112,202.</u>	<u>11/10/2016</u>
<u>      </u>	_____ _____ _____ _____	\$ _____	_____
<u>      </u>	_____ _____ _____ _____	\$ _____	_____
<u>      </u>	_____ _____ _____ _____	\$ _____	_____
<u>      </u>	_____ _____ _____ _____	\$ _____	_____

Name of organization CAPLIN 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

ATTACHMENT 1FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
ML 4202 (INTEREST)	455.	455.
ML 4202 (DIVIDEND)	16,002.	16,002.
ML 2614 (DIVIDEND)	15,936.	15,936.
NONDIVIDEND DISTRIBUTIONS	7,436.	
TOTAL	<u>39,829.</u>	<u>32,393.</u>

ATTACHMENT 2

FORM 990PF, PART I - OTHER INCOME

<u>DESCRIPTION</u> CROWNQUEST	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
	7,660.	7,660.
TOTALS	<u>7,660.</u>	<u>7,660.</u>

ATTACHMENT 3FORM 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>
BDO				
BOOKKEEPING - CHUN K. YEUNG	4,000.			4,000.
	1,680.			1,680.
TOTALS	<u>5,680.</u>			<u>5,680.</u>

ATTACHMENT 4FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
INVESTMENT FEES - ML #4202	11,960.	11,960.
INVESTMENT FEES - ML #2614	150.	150.
TOTALS	<u>12,110.</u>	<u>12,110.</u>

ATTACHMENT 5

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
IRS Q2 PAYMENT	250.	
FOREIGN TAXES PAID	46.	46.
TOTALS	<u>296.</u>	<u>46.</u>

FORM 990PF, PART II - OTHER INVESTMENTSATTACHMENT 6DESCRIPTIONENDING  
BOOK VALUEENDING  
FMV

ML #4202  
AGLF TERM LOAN  
AIG - LIFE INSURANCE  
ML #2614

713,588.  
2,051.  
10,556.  
105,757.

1,157,940.  
2,051.  
10,556.  
2,444,909.

## TOTALS

831,952.

3,615,456.

ATTACHMENT 7FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

<u>DESCRIPTION</u>	<u>AMOUNT</u>
PRIOR PERIOD ADJUSTMENT	2,541.
TOTAL	<u>2,541.</u>

ATTACHMENT 8FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

<u>DESCRIPTION</u>	<u>AMOUNT</u>
ADJUSTMENT FOR STOCK CONTRIBUTION	430,766.
TOTAL	<u>430,766.</u>

## CAPLIN FOUNDATION

2016 FORM 990-PF

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

52-6078981

## ATTACHMENT 9

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
------------------	---	--------------	---	---

MORTIMER M. CAPLIN  
5610 WISCONSIN AVE.  
CHEVY CHASE, MD 20185

PRESIDENT

ROSEMARY MCCARTHY  
ONE THOMAS CIRCLE, N.W.  
WASHINGTON, DC 20005

ASSISTANT SECRETARY

MICHAEL CAPLIN  
8477 PORTLAND PLACE  
MCLEAN, VA 22102

SECRETARY/TREASURER

GRAND TOTALS

0.	0.	0.
----	----	----

4903EU L43V

ATTACHMENT 10

FORM 990PF, PART XV - NAME, ADDRESS AND PHONE FOR APPLICATIONS

SEE STATEMENT ATTACHED

CAPLIN FOUNDATION

2016 FORM 990-PF

52-6078981

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

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR  
AND  
FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

SEE STATEMENT ATTACHED

NONE  
PC

PURPOSE OF GRANT OR CONTRIBUTION

SEE STATEMENT ATTACHED

AMOUNT

230,500.

TOTAL CONTRIBUTIONS PAID

230,500

ATTACHMENT 11

CAPLIN FOUNDATION

2016 FORM 990-PF

FORM 990-PF, PART XVI-A - ANALYSIS OF OTHER REVENUE

52-6078981

ATTACHMENT 12

DESCRIPTION	BUSINESS CODE	AMOUNT	EXCLUSION CODE	AMOUNT	RELATED OR EXEMPT FUNCTION INCOME
OTHER INCOME FROM MINING AND LEASEHOLD INTERESTS	212000	7,660.			
TOTALS				7,660.	

4903EU L43V

## STATEMENT: Part XV - 1

230,500

## LINE 3A - GRANTS &amp; CONTRIBUTIONS PAID

<u>RECIPIENT NAME/ADDRESS</u>	<u>RELATIONSHIP</u>	<u>STATUS</u>	<u>PURPOSE</u>	<u>AMOUNT</u>
CHILDREN'S FUN FUND	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
KID'S DANCE OF MONTEREY	N/A	PUBLIC CHARITY	GENERAL SUPPORT	750
SIDWELL FRIENDS SCHOOL 3825 WISCONSIN AVE, NW WASHINGTON, DC	N/A	PUBLIC CHARITY	GENERAL SUPPORT	2,500
THE JEWISH FEDERATION OF GREATER WASH 6101 MONTROSE ROAD ROCKVILLE, MD 20852	N/A	PUBLIC CHARITY	GENERAL SUPPORT	7,500
BUFORD MIDDLE SCHOOL 1000 CHERRY AVENUE CHARLOTTESVILLE, VA 22903	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
DUKE UNIVERSITY FENCING TEAM P.O. BOX 90581 DURHAM, NC 27708	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
TANDEM FRIENDS SCHOOL DRAMA DEPARTMENT 279 TANDEM LANE CHARLOTTESVILLE, VA 22902	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
RICHMOND FENCING CLUB 3411 CARLTON STREET RICHMOND, VA 23230	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
MIDDLE OAK BAPTIST CHURCH 344 JACKSON STREET WARRENTON, VA 22186	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
UNION RIDGE BAPTIST CHURCH 2980 HYDRAULIC ROAD CHARLOTTESVILLE, VA 22901	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
AMERICAN SHAKESPEARE CENTER 20 S NEW STREET STAUNTON, VA 24401	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
FOUR COUNTY PLAYERS 5256 GOVERNOR BARBOUR STREET BARBOURSVILLE, VA 22923	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
LIVE ARTS 123 EAST WATER STREET	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500

CHARLOTTESVILLE, VA 20902

APPALACHIAN VOICES 171 GRAND BLVD BOONE, NC 28607	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
THE VIRGINIA CONSORT 1658 PALMER BLVD CHARLOTTESVILLE, VA 22901	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
DC BAR PRO BONO PROGRAM 1101 K STREET, NW, STE 200 WASHINGTON, DC 20005	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
ABA FUND FOR JUSTICE AND EDUCATION AMERICAN BAR ASSOCIATION 321 NORTH CLARK STREET CHICAGO, IL 60654	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
THE GEORGE WASHINGTON UNIVERSITY WASHINGTON, DC	N/A	PUBLIC CHARITY	GENERAL SUPPORT	5,000
THE MILLER CENTER FOUNDATION PO BOX 400406 CHARLOTTESVILLE, VA 22904	N/A	PUBLIC CHARITY	GENERAL SUPPORT	25,000
UNIV OF VIRGINIA LAW SCHOOL FDN 580 MASSIE ROAD CHARLOTTESVILLE, VA 22903	N/A	PUBLIC CHARITY	GENERAL SUPPORT	12,000
UNIVERSITY OF VIRGINIA LAW SCHOOL 580 MASSIE ROAD CHARLOTTESVILLE, VA 22903	N/A	PUBLIC CHARITY	GENERAL SUPPORT	10,000
UNIVERSITY OF VIRGINIA PO BOX 400128 CHARLOTTESVILLE, VA	N/A	PUBLIC CHARITY	GENERAL SUPPORT	5,000
THOMAS JEFFERSON FOUNDATION, INC. PO BOX 316 CHARLOTTESVILLE, VA 22902	N/A	PUBLIC CHARITY	GENERAL SUPPORT	5,000
UNIVERSITY OF VIRGINIA LAW SCHOOL CHARLOTTESVILLE, VA	N/A	PUBLIC CHARITY	GENERAL SUPPORT	50,000
UNIVERSITY OF VIRGINIA PO BOX 400128 CHARLOTTESVILLE, VA	N/A	PUBLIC CHARITY	GENERAL SUPPORT	5,000
WAMU AMERICAN UNIVERSITY WASHINGTON, DC 20016	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
SOUTHERN POVERTY LAW CENTER 400 WASHINGTON AVENUE MONTGOMERY, AL 36104	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
EARTH UNIVERSITY FOUNDATION	N/A	PUBLIC	GENERAL	1,000

5 PIEDMONT CENTER, STE 215  
3525 PIEDMONT ROAD, NE  
ATLANTA, GA 30305-1509

CHARITY SUPPORT

FRIENDS OF NATIONAL ZOO  
PO BOX 37012  
WASHINGTON, DC 20013

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

5,000

GREENWOOD  
80 ACADEMY STREET  
South Berwick, MA 03908

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

5,000

EARTH UNIVERSITY FOUNDATION  
5 PIEDMONT CENTER, STE 215  
3525 PIEDMONT ROAD, NE  
ATLANTA, GA 30305-1509

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

5,000

SAFE SPOT  
PO BOX 148  
FAIRFAX, VA 22038

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

5,000

NEW YORK UNIVERSITY SCHOOL OF LAW  
726 BROADWAY, SECOND FLOOR  
NEW YORK, NY 10003-9580

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

1,000

AMERICAN BAR FOUNDATION  
750 NORTH LAKE SHORE DRIVE  
CHICAGO, IL 60611

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

1,000

BOYS AND GIRLS CLUBS OF DC  
P.O. BOX 96520  
WASHINGTON, DC 20077

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

1,000

THE VICTORY THEATRE CENTER  
3326 W VICTORY BLVD  
BURBANK, CA 91505

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

2,000

PLANNED PARENTHOOD DC REGION  
1108 16TH STREET, NW  
WASHINGTON, DC 20036

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

1,000

UNIVERSITY OF VIRGINIA  
PO BOX 400128  
CHARLOTTESVILLE, VA

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

2,500

ABA FUND FOR JUSTICE AND EDUCATION  
AMERICAN BAR ASSOCIATION  
321 NORTH CLARK STREET  
CHICAGO, IL 60654

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

1,000

SPCA LA  
5026 W JEFFERSON BLVD  
LOS ANGELES, CA 90016

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

750

ACADEMY OF NEW MUSICAL THEATRE  
5628 VINELAND AVENUE  
NORTH HOLLYWOOD, CA 91601

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

1,000

RUBICON THEATRE CO 1006 E MAIN STREET VENTURA, CA 93001	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
FOUNTAIN THEATRE 5060 FOUNTAIN AVE LOS ANGELES, CA 90029	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
SIERRA MADRES PLAYHOUSE PO BOX 123 SIERRA MADRE, CA 91025	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
NORTHCOAST REP 987 LOMAS SANTE FE DR SOLANA BEACH, CA 92075	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
BLANK THEATRE CO PO BOX 1094 LOS ANGELES, CA 90078	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
KIDS DANCE OF MONTEREY P.O. BOX 6225 CARMEL, CA 93921	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,500
24TH ST THEATRE 1117 WEST 24TH STREET LOS ANGELES, CA	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,500
ROGUE MACHINE THEATRE JABBERWOCKY THEATRE CO 12405 VENICE BLVD, #153 LOS ANGELES, CA 90066	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
LAGUNA PLAYHOUSE 606 LAGUNA CANYON ROAD LAGUNA BEACH, CA 92651	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
THE ACTORS STUDIO WEST 8341 DELONGPRE AVE WEST HOLLYWOOD, CA 90069	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
INLAND VALLEY REPERTORY THEATRE PO BOX 7743 LA VERNE, CA 91750	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
EAST WEST PLAYERS 120 JUDGE JOHN AISO STREET LOS ANGELES, CA 90012	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
PLAYWRIGHTS ARENA 514 S SPRING STREET LOS ANGELES, CA 90012	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
INTERNATIONAL CITY THEATRE 110 PINE AVENUE, STE 820 LONG BEACH, CA 90013	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
PASADENA PLAYHOUSE	N/A	PUBLIC	GENERAL	500

600 PLAYHOUSE ALLEY, STE 300  
PASADENA, CA 91101

CHARITY SUPPORT

BOSTON COURT  
70 N MENTOR AVENUE  
PASADENA, CA 91106

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

500

ROAD THEATRE CO  
5108 LANDERSHIM BLVD  
NORTH HOLLYWOOD, CA 91601

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

500

DEAF WEST THEATRE  
514 LANKERSHIM BLVD  
NORTH HOLLYWOOD, CA 91601

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

500

CHANCE THEATRE  
PO BOX 3309  
ORANGE, CA 92857

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

500

SKYLIGHT THEATRE CO  
1816 1/2 N VERMONT AVENUE  
LOS ANGELES, CA 91603

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

500

3D THEATRICALS  
1255 N KNOLLWOOD CIRCLE  
ANNAHEIM, CA 92801

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

500

MUSICAL THEATRE WEST  
4350 E 7TH STREET  
LONG BEACH, CA 90804

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

500

ECHO THEATRE CO  
3269 CASITAS AVE  
LOS ANGELES, CA 90039

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

500

ANTAEUS THEATRE CO  
127 S BRAND BLVD, STE 111  
GLENDALE, CA 91204

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

500

SIDWELL FRIENDS SCHOOL  
3825 WISCONSIN AVE, NW  
WASHINGTON, DC

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

2,500

ADRIENNE ARSHT CTR FDN  
1300 BISCAYNE BLVD, 3RD FLOOR  
MIAMI, FL 33132

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

25,000

BOOTLEG THEATRE  
2220 BEVERLY BLVD  
LOS ANGELES, CA

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

500

RICHMOND FENCING CLUB  
3411 CARLTON STREET  
RICHMOND, VA 23230

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

1,000

DUKE UNIVERSITY FENCING TEAM  
P.O. BOX 90581  
DURHAM, NC 27708

N/A

PUBLIC  
CHARITY

GENERAL  
SUPPORT

4,000

LIVE ARTS 123 EAST WATER STREET CHARLOTTESVILLE, VA 20902	N/A	PUBLIC CHARITY	GENERAL SUPPORT	2,000
WESTMINSTER PRESBYTERIAN CHURCH	N/A	PUBLIC CHARITY	GENERAL SUPPORT	2,000
MIDDLE OAK BAPTIST CHURCH 344 JACKSON STREET WARRENTON, VA 22186	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
UNION RIDGE BAPTIST CHURCH 2980 HYDRAULIC ROAD CHARLOTTESVILLE, VA 22901	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
HERITAGE THEATRE FESTIVAL UVA CHARLOTTESVILLE, VA	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
PLEASANT GROVE BAPTIST CHURCH 2908 HYDRAULIC ROAD CHARLOTTESVILLE, VA 22901	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
CHARLOTTESVILLE AREA COMM FDN PO BOX 1767 CHARLOTTESVILLE, VA 22902	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
LOAVES & FISHES FOOD PANTRY PO BOX 8001 CHARLOTTESVILLE, VA 22906	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
BLUE RIDGE AREA FOOD BANK 1207 HARRIS STREET CHARLOTTESVILLE, VA 22903	N/A	PUBLIC CHARITY	GENERAL SUPPORT	1,000
OGLALA LAKOTA COLLEGE PO BOX 537 PIYA WICONI ROAD KYLE, SD 57752	N/A	PUBLIC CHARITY	GENERAL SUPPORT	250
BUILDING GOODNESS FDN PO BOX 4325 CHARLOTTESVILLE, VA 22905	N/A	PUBLIC CHARITY	GENERAL SUPPORT	250
CURE SEARCH FOR CHILDRENS CANCER 4600 EAST WEST HWY, STE 600 BETHESDA, MD 20814	N/A	PUBLIC CHARITY	GENERAL SUPPORT	500
INTERNATIONAL RESCUE COMMITTEE 122 E 42ND STREET NEW YORK, NY 10168	N/A	PUBLIC CHARITY	GENERAL SUPPORT	300
GATHERING HARVEST CHURCH INTL P.O. BOX 7159 TYLER, TX 75711	N/A	PUBLIC CHARITY	GENERAL SUPPORT	200

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230,500