

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

2016

Open to Public Inspection

For calendar year 2016 or tax year beginning

, 2016, and ending

THE PETER AND PATRICIA GRUBER FOUNDATION  
P.O. BOX 208958  
NEW HAVEN, CT 06520-8958

G Check all that apply:  Initial return  Initial return of a former public charity  
 Final return  Amended return  
 Address change  Name change

H Check type of organization:  Section 501(c)(3) exempt private foundation  
 Section 4947(a)(1) nonexempt charitable trust  Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, column (c), line 16) **\$ 16,510,907.** J Accounting method  Cash  Accrual  
 Other (specify)

(Part I, column (d) must be on cash basis)

**Part I Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received (attach schedule)	4,340,604.			
2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
3 Interest on savings and temporary cash investments	944.	944.		N/A
4 Dividends and interest from securities	300,551.	300,551.		
5 a Gross rents				
b Net rental income or (loss)				
6 a Net gain or (loss) from sale of assets not on line 10	39,543.			
b Gross sales price for all assets on line 6a	770,245.			
7 Capital gain net income (from Part IV, line 2)		39,543.		
8 Net short-term capital gain				
9 Income modifications				
10 a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit or (loss) (attach schedule)				
11 Other income (attach schedule)				
SEE STATEMENT 1	106.	-237.		
12 Total. Add lines 1 through 11.	4,681,748.	340,801.		
13 Compensation of officers, directors, trustees, etc.	0.			
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16 a Legal fees (attach schedule)	SEE ST 2	858.		858.
b Accounting fees (attach sch)	SEE ST 3	6,641.	3,321.	3,320.
c Other professional fees (attach sch)	SEE ST 4	80,000.		80,000.
17 Interest				
18 Taxes (attach schedule)(see instrs)	SEE STM 5	10,134.	3,453.	
19 Depreciation (attach schedule) and depletion	SEE STMT 6	59.		
20 Occupancy				
21 Travel, conferences, and meetings		2,455.		2,455.
22 Printing and publications				
23 Other expenses (attach schedule)				
SEE STATEMENT 7	31,935.			31,935.
24 Total operating and administrative expenses. Add lines 13 through 23.	132,082.	6,774.		118,568.
25 Contributions, gifts, grants paid	3,159,400.			1,514,400.
26 Total expenses and disbursements. Add lines 24 and 25.	3,291,482.	6,774.		1,632,968.
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	1,390,266.			
b Net investment income (if negative, enter -0-)		334,027.		
c Adjusted net income (if negative, enter -0-)				

625 10

<b>Part II Balance Sheets</b>		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	
<b>ASSETS</b>	1	Cash – non-interest-bearing	58.	58.	58.	
	2	Savings and temporary cash investments	4,161,739.	1,535,719.	1,535,719.	
	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 sch)				
		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)	STATEMENT 8	9,552,740.	15,232,151.	14,902,083.
	14	Land, buildings, and equipment: basis	1,784.			
		Less: accumulated depreciation (attach schedule)	SEE STMT 9	59.	1,725.	1,725.
	15	Other assets (describe SEE STATEMENT 10		91,831.	71,322.	71,322.
	16	<b>Total assets</b> (to be completed by all filers – see the instructions. Also, see page 1, item 1)		13,806,368.	16,840,975.	16,510,907.
<b>LIABILITIES</b>	17	Accounts payable and accrued expenses	1,213.	554.		
	18	Grants payable	1,112,000.	2,757,000.		
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, & other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe				
	23	<b>Total liabilities</b> (add lines 17 through 22)	1,113,213.	2,757,554.		
		Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.	<input type="checkbox"/>			
	24	Unrestricted				
	25	Temporarily restricted				
<b>NET FUND</b>	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				
	28	Paid-in or capital surplus, or land, bldg., and equipment fund	22,404,979.	22,404,979.		
	29	Retained earnings, accumulated income, endowment, or other funds	-9,711,824.	-8,321,558.		
	30	<b>Total net assets or fund balances</b> (see instructions)	12,693,155.	14,083,421.		
	31	<b>Total liabilities and net assets/fund balances</b> (see instructions)	13,806,368.	16,840,975.		

**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	12,693,155.
2	Enter amount from Part I, line 27a	2	1,390,266.
3	Other increases not included in line 2 (itemize)	3	
4	Add lines 1, 2, and 3	4	14,083,421.
5	Decreases not included in line 2 (itemize)	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	14,083,421.

**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 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)	
<b>1 a JPM HIGH YIELD FD - SEL</b>		P	VARIOUS	6/02/16	
<b>b SFC PARK KNOLLS INVSTRS, LP-EXCESS DISTR</b>		P	VARIOUS	12/31/16	
<b>c SFC PHEASANT RUN INVSTRS, LP-EXCESS DISTR</b>		P	VARIOUS	12/31/16	
<b>d CAPITAL GAIN DIVIDENDS</b>					
<b>e</b>					
<b>(e) Gross sales price</b>		<b>(f) Depreciation allowed (or allowable)</b>	<b>(g) Cost or other basis plus expense of sale</b>	<b>(h) Gain or (loss) (e) plus (f) minus (g)</b>	
<b>a</b>	<b>750,000.</b>		<b>730,702.</b>	<b>19,298.</b>	
<b>b</b>	<b>2,096.</b>			<b>2,096.</b>	
<b>c</b>	<b>4,992.</b>			<b>4,992.</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					
<b>(i) F.M.V. as of 12/31/69</b>		<b>(j) Adjusted basis as of 12/31/69</b>	<b>(k) Excess of col. (i) over col. (j), if any</b>	<b>(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))</b>	
<b>a</b>				<b>19,298.</b>	
<b>b</b>				<b>2,096.</b>	
<b>c</b>				<b>4,992.</b>	
<b>d</b>				<b>13,157.</b>	
<b>e</b>					
<b>2 Capital gain net income or (net capital loss).</b>		<b>If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7</b>		<b>2</b>	<b>39,543.</b>
<b>3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):</b>				<b>3</b>	<b>19,298.</b>
If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8					

**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.

<b>(a)</b> Base period years Calendar year (or tax year beginning in)	<b>(b)</b> Adjusted qualifying distributions	<b>(c)</b> Net value of noncharitable-use assets	<b>(d)</b> Distribution ratio (col. (b) divided by col. (c))
2015	1,086,501.	13,518,893.	0.080369
2014	1,837,372.	9,910,186.	0.185402
2013	1,823,045.	9,997,259.	0.182354
2012	15,785,844.	7,950,001.	1.985641
2011	72,700,758.	54,997,189.	1.321900

<b>2 Total of line 1, column (d).</b>	<b>2</b>	<b>3.755666</b>
<b>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.</b>	<b>3</b>	<b>0.751133</b>
<b>4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5</b>	<b>4</b>	<b>13,370,074.</b>
<b>5 Multiply line 4 by line 3</b>	<b>5</b>	<b>10,042,704.</b>
<b>6 Enter 1% of net investment income (1% of Part I, line 27b)</b>	<b>6</b>	<b>3,340.</b>
<b>7 Add lines 5 and 6</b>	<b>7</b>	<b>10,046,044.</b>
<b>8 Enter qualifying distributions from Part XII, line 4</b>	<b>8</b>	<b>1,632,968.</b>

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

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

1 a Exempt operating foundations described in section 4940(d)(2), check here. ► <input type="checkbox"/> and enter 'N/A' on line 1.		
b 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	6,681.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0.
3 Add lines 1 and 2	3	6,681.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.
5 <b>Tax based on investment income.</b> Subtract line 4 from line 3 If zero or less, enter -0-	5	6,681.
6 Credits/Payments:		
a 2016 estimated tax pmts and 2015 overpayment credited to 2016	6 a	20,875.
b Exempt foreign organizations – tax withheld at source ..	6 b	
c Tax paid with application for extension of time to file (Form 8868)	6 c	
d Backup withholding erroneously withheld	6 d	
7 Total credits and payments. Add lines 6a through 6d	7	20,875.
8 Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	0.
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	14,194.
11 Enter the amount of line 10 to be: Credited to 2017 estimated tax ► 14,194.   Refunded ► 11   0.	11	0.

**Part VII-A | Statements Regarding Activities**

1 a 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?	Yes	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1 b	X
<i>If the answer is 'Yes' to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities</i>		
c Did the foundation file <b>Form 1120-POL</b> for this year?	1 c	X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year:		
(1) On the foundation ► \$ 0. (2) On foundation managers ► \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ► \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS?	2	X
<i>If 'Yes,' attach a detailed description of the activities</i>		
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If 'Yes,' attach a conformed copy of the changes</i>	3	X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4 a	X
b If 'Yes,' has it filed a tax return on <b>Form 990-T</b> for this year?	4 b	N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?	5	X
<i>If 'Yes,' attach the statement required by General Instruction T</i>		
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either:	6	X
• 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?		
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If 'Yes,' complete Part II, col. (c), and Part XV</i>	7	X
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) ►		
DE		
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 <i>General Instruction G</i> ? <i>If 'No,' attach explanation</i>	8 b	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)? <i>If 'Yes,' complete Part XIV</i>	9	X
10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses</i> ► SEE STATEMENT 11	10	X

**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	13	X	
► WWW.PPGRUBERFOUNDATION.ORG				
14	The books are in care of ► A. SARAH HREHA Located at ► PO BOX 208958 NEW HAVEN CT	Telephone no ► 203-432-6231	ZIP + 4 ► 06520-8958	
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 – Check here and enter the amount of tax-exempt interest received or accrued during the year.	15	N/A	► N/A
16	At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
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.

1 a	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				
1 b	If any answer is 'Yes' to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here ►		N/A	
1 c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016?			X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
a	At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? If 'Yes,' list the years ► 20 __ , 20 __ , 20 __ , 20 __ <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.)		2 b	N/A
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► 20 __ , 20 __ , 20 __ , 20 __			
3 a	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)		3 b	N/A
4 a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		4 a	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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		4 b	X



**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
ALBERT LOUIS SACHS 34 3RD BEACH CLIFTON 8005, CAPE TOWN SOUTH AFRICA	MANUSCRIPT WRITTEN	80,000.
<b>Total number of others receiving over \$50,000 for professional services</b>		<b>0</b>

**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.

1	N/A	Expenses
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

1	N/A	Amount
2		

All other program-related investments. See instructions.

3	

**Total.** Add lines 1 through 3 ► 0.

BAA

Form 990-PF (2016)

**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	11,743,400.
b	Average of monthly cash balances	1b	1,830,279.
c	Fair market value of all other assets (see instructions)	1c	
d	<b>Total</b> (add lines 1a, b, and c)	1d	13,573,679.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	13,573,679.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	203,605.
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	5	13,370,074.
6	<b>Minimum investment return.</b> Enter 5% of line 5	6	668,504.

**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	668,504.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	6,681.
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	6,681.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	661,823.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	661,823.
6	Deduction from distributable amount (see instructions)	6	
7	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5 Enter here and on Part XIII, line 1	7	661,823.

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

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes:		
a	Expenses, contributions, gifts, etc. – total from Part I, column (d), line 26	1a	1,632,968.
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	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,632,968.
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	
6	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	6	1,632,968.

**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				661,823.
2 Undistributed income, if any, as of the end of 2016:			0.	
a Enter amount for 2015 only				
b Total for prior years: 20 ___, 20 ___, 20 ___		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011	69,998,851.			
b From 2012	15,393,110.			
c From 2013	1,347,031.			
d From 2014	1,359,212.			
e From 2015	416,332.			
f Total of lines 3a through e	88,514,536.			
4 Qualifying distributions for 2016 from Part XII, line 4: ► \$ 1,632,968.			0.	
a Applied to 2015, but not more than line 2a.				
b Applied to undistributed income of prior years (Election required – see instructions)		0.		
c Treated as distributions out of corpus (Election required – see instructions)	0.			
d Applied to 2016 distributable amount				661,823.
e Remaining amount distributed out of corpus	971,145.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))		0.		0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	89,485,681.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount – see instructions		0.		
e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount – see instructions			0.	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required – see instructions).		0.		
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)	69,998,851.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a.	19,486,830.			
10 Analysis of line 9:				
a Excess from 2012	15,393,110.			
b Excess from 2013	1,347,031.			
c Excess from 2014	1,359,212.			
d Excess from 2015	416,332.			
e Excess from 2016	971,145.			

BAA

Form 990-PF (2016)

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

N/A

<b>1 a</b> 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	<input checked="" type="checkbox"/> 4942(j)(3) or <input type="checkbox"/> 4942(j)(5)			
<b>b</b> Check box to indicate whether the foundation is a private operating foundation described in section				
<b>2 a</b> Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed				
<b>b</b> 85% of line 2a				
<b>c</b> Qualifying distributions from Part XII, line 4 for each year listed				
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities				
<b>e</b> Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c				
<b>3</b> Complete 3a, b, or c for the alternative test relied upon:				
<b>a</b> 'Assets' alternative test — enter:				
(1) Value of all assets				
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)				
<b>b</b> 'Endowment' alternative test — enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed				
<b>c</b> '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
<b>a Paid during the year</b> SEE STATEMENT 12				
<b>Total</b>				► 3a 1,514,400.
<b>b Approved for future payment</b> AMERICAN COMMITTEE FOR THE WEIZMANN INST 633 3RD AVENUE NEW YORK NY 10017	N/A	PC	TO SUPPORT MULTI-DISCIPLINARY RESEARCH PROJECTS	2,000,000.
<b>Total</b>				► 3b 2,000,000.
BAA	TEEA0501L	12/16/16		Form 990-PF (2016)

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

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) Exclu- sion 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			14	944.	
4 Dividends and interest from securities			14	300,551.	
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			14	-237.	
8 Gain or (loss) from sales of assets other than inventory				13,157.	26,386.
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a CREDIT CARD REDEMPTION CR			1	343.	
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)				314,758.	26,386.
13 Total. Add line 12, columns (b), (d), and (e)				13	341,144.

(See worksheet in line 13 instructions to verify calculations.)

**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.)
N/A	

**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?

a Transfers from the reporting foundation to a noncharitable exempt organization of:

- (1) Cash ..
- (2) Other asset

**b Other transactions:**

- (1) Sales of assets to a noncharitable exempt organization
- (2) Purchases of assets from a noncharitable exempt organization
- (3) Rental of facilities, equipment, or other assets.
- (4) Reimbursement arrangements
- (5) Loans or loan guarantees
- (6) Performance of services or membership or fundraising solicitations

c Sharing of facilities, equipment, mailing lists, other assets, or paid employees

	Yes	No
1 a (1)		X
1 a (2)		X
1 b (1)		X
1 b (2)		X
1 b (3)		X
1 b (4)		X
1 b (5)		X
1 b (6)		X
1 c		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.

**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

<b>(a) Name of organization</b>	<b>(b) Type of organization</b>	<b>(c) Description of relationship</b>
N/A		

<b>Sign Here</b>	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		17/20/17 Date	PRESIDENT Title
<input type="checkbox"/> Yes <input type="checkbox"/> No			May the IRS discuss this return with the preparer shown below (see instructions)?

**Sign  
Here**

Patricia M. Carter 17/20/17  
Signature of officer or trustee Date

**PRESIDENT**

May the IRS discuss  
this return with the  
preparer shown below  
(see instructions)?

Signature or name of preparer		Preparer's signature	Date	Check <input checked="" type="checkbox"/> if self-employed	PTIN
<b>Paid Preparer Use Only</b>	Print/Type preparer's name		MARCELINE H. OBERLY		
	Firm's name	► MARCELINE H. OBERLY, CPA		Firm's EIN ►	
	Firm's address	► 225 FOREST HILLS DR BRISTOL, TN 37620		Phone no 423-573-4690	

**BAA**

**Form 990-PF (2016)**

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

Department of the Treasury  
Internal Revenue Service

OMB No. 1545-0047

## Schedule of Contributors

► Attach to Form 990, Form 990-EZ, or Form 990-PF.  
► Information about Schedule B (Form 990, 990-EZ, 990-PF) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

**2016**

Name of the organization	Employer identification number
THE PETER AND PATRICIA GRUBER FOUNDATION	65-1230485

Organization type (check one):

Filers of:

Form 990 or 990-EZ

Section:

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).

BAA 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

THE PETER AND PATRICIA GRUBER FOUNDATION

Employer identification number

65-1230485

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

(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	PETER GRUBER REVOCABLE TRUST	\$ 1,200,000.	<input checked="" type="checkbox"/> Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash
	6501 RED HOOK PLAZA, SUITE 201		(Complete Part II for noncash contributions.)
	ST. THOMAS, VI 00802		
(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
2	PETER GRUBER REVOCABLE TRUST	\$ 1,727,238.	<input type="checkbox"/> Person <input type="checkbox"/> Payroll <input checked="" type="checkbox"/> Noncash
	6501 RED HOOK PLAZA, SUITE 201		(Complete Part II for noncash contributions.)
	ST. THOMAS, VI 00802		
(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
3	PETER GRUBER REVOCABLE TRUST	\$ 443,462.	<input type="checkbox"/> Person <input type="checkbox"/> Payroll <input checked="" type="checkbox"/> Noncash
	6501 RED HOOK PLAZA, SUITE 201		(Complete Part II for noncash contributions.)
	ST. THOMAS, VI 00802		
(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
4	PETER GRUBER REVOCABLE TRUST	\$ 907,404.	<input type="checkbox"/> Person <input type="checkbox"/> Payroll <input checked="" type="checkbox"/> Noncash
	6501 RED HOOK PLAZA, SUITE 201		(Complete Part II for noncash contributions.)
	ST. THOMAS, VI 00802		
(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
5	PETER GRUBER REVOCABLE TRUST	\$ 62,500.	<input type="checkbox"/> Person <input type="checkbox"/> Payroll <input checked="" type="checkbox"/> Noncash
	6501 RED HOOK PLAZA, SUITE 201		(Complete Part II for noncash contributions.)
	ST. THOMAS, VI 00802		
(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
---	---	\$	<input type="checkbox"/> Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash
			(Complete Part II for noncash contributions.)

Name of organization

THE PETER AND PATRICIA GRUBER FOUNDATION

Employer identification number

65-1230485

**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
2	JPM SH INT MUNI BD FD - INSTL 872,737.17 JPM STRAT INC OPP FD - SEL 272,382.61 JPM GLBL RES ENH INDEX FD - SEL 222,640.84 JPM INTERM TAX FREE BD FD - INSTL 199,999.99 JPM EQ INC FD - SEL 159,477.17	\$ 1,727,238.	9/21/16
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
3	JPM HIGH YIELD FD - SEL 130,778.09 JPM TAX AWARE R/R FD - INSTL 130,237.92 ISHARES CORE S&P MIDCAP ETF 107,643.36 DEUTSCHE X-TRACKERS MSCI EAF 74,802.13	\$ 443,462.	9/21/16
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
4	NEUBERGER BER MU/C OPP-INS 250,068.67 DODGE & COX INCOME FD 217,129.63 DOUBLELINE TOTL RET BND-I 215,568.17 DODGE & COX INTL STOCK FD 145,308.91 MFS INTL VALUE-I 79,328.93	\$ 907,404.	9/26/16
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
5	BROWN ADV JAPAN ALPHA OPP-IS 62,499.99	\$ 62,500.	9/26/16
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received

BAA

Name of organization

THE PETER AND PATRICIA GRUBER FOUNDATION

Employer identification number

65-1230485

**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) . . . ► \$ N/A  
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
N/A			
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	
(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	
(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	

2016

## FEDERAL STATEMENTS

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THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

**STATEMENT 1**  
**FORM 990-PF, PART I, LINE 11**  
**OTHER INCOME**

	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
CREDIT CARD REDEMPTION CR	\$ 343.		
OTHER INVESTMENT INCOME	\$ -237.	\$ -237.	\$ 0.
<b>TOTAL</b>	<b>\$ 106.</b>	<b>\$ -237.</b>	<b>\$ 0.</b>

**STATEMENT 2**  
**FORM 990-PF, PART I, LINE 16A**  
**LEGAL FEES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
RESEARCH & COMPLIANCE	\$ 858.			\$ 858.
<b>TOTAL</b>	<b>\$ 858.</b>	<b>\$ 0.</b>	<b>\$ 0.</b>	<b>\$ 858.</b>

**STATEMENT 3**  
**FORM 990-PF, PART I, LINE 16B**  
**ACCOUNTING FEES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING AND TAX PREPARATION	\$ 6,641.	\$ 3,321.		\$ 3,320.
<b>TOTAL</b>	<b>\$ 6,641.</b>	<b>\$ 3,321.</b>	<b>\$ 3,320.</b>	<b>\$ 3,320.</b>

**STATEMENT 4**  
**FORM 990-PF, PART I, LINE 16C**  
**OTHER PROFESSIONAL FEES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
JUSTICE/ WOMENS RIGHTS MANUSCRIPT	\$ 80,000.			\$ 80,000.
<b>TOTAL</b>	<b>\$ 80,000.</b>	<b>\$ 0.</b>	<b>\$ 0.</b>	<b>\$ 80,000.</b>

2016

## FEDERAL STATEMENTS

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THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

**STATEMENT 5**  
**FORM 990-PF, PART I, LINE 18**  
**TAXES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EXCISE TAX	\$ 6,681.			
FOREIGN TAXES WITHHELD	3,453.	\$ 3,453.		
<b>TOTAL</b>	<b>\$ 10,134.</b>	<b>\$ 3,453.</b>		<b>\$ 0.</b>

**STATEMENT 6**  
**FORM 990-PF, PART I, LINE 19**  
**ALLOCATED DEPRECIATION**

DATE ACQUIRED	COST BASIS	PRIOR YR DEPR	METHOD	RATE	LIFE	CURRENT YR DEPR	NET INVEST INCOME	ADJUSTED NET INCOME
COMPUTERS 11/07/16	1,784		S/L		5	59	0	0

**STATEMENT 7**  
**FORM 990-PF, PART I, LINE 23**  
**OTHER EXPENSES**

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADMINISTRATIVE EXPENSES	\$ 1,161.			\$ 1,161.
ANNUAL & FRANCHISE REPORTS	272.			272.
BANK SERVICE CHARGES	182.			182.
DUES & SUBSCRIPTIONS	297.			297.
INSURANCE	4,490.			4,490.
IT	978.			978.
MEALS & ENTERTAINMENT	955.			955.
MISCELLANEOUS	63.			63.
POSTAGE, SHIPPING & DELIVERY	170.			170.
PR	19,899.			19,899.
TELEPHONE	3,468.			3,468.
<b>TOTAL</b>	<b>\$ 31,935.</b>	<b>\$ 0.</b>		<b>\$ 31,935.</b>

**STATEMENT 8**  
**FORM 990-PF, PART II, LINE 13**  
**INVESTMENTS - OTHER**

OTHER INVESTMENTS	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
SFC PARK KNOLLS INVESTORS, LP	COST	\$ 0.	\$ 0.
SFC PHEASANT RUN INVESTORS, LP	COST	0.	0.
JPM ACCESS BALANCED FD - INSTL	MKT VAL	9,625,427.	9,134,089.
LATINTECH CAPITAL INC	MKT VAL	86,021.	100,000.

**STATEMENT 8 (CONTINUED)**  
**FORM 990-PF, PART II, LINE 13**  
**INVESTMENTS - OTHER**

<u>OTHER INVESTMENTS</u>	<u>VALUATION METHOD</u>	<u>BOOK VALUE</u>	<u>FAIR MARKET VALUE</u>
JPM HIGH YIELD FD - SEL FUND 3580	MKT VAL	\$ 2,380,099.	\$ 2,527,362.
JPM EQ INC FD - SEL	MKT VAL	159,477.	182,965.
NEUBERGER BER MU/C OPP-INS	MKT VAL	250,069.	272,802.
ISHARES CORE S&P MIDCAP ETF	MKT VAL	107,643.	134,587.
DEUTSCHE X-TRACKERS MSCI EAF	MKT VAL	74,802.	70,150.
DODGE & COX INTL STOCK FD	MKT VAL	145,309.	128,691.
MFS INTL VALUE-I	MKT VAL	79,329.	85,155.
BROWN ADV JAPAN ALPHA OPP-IS	MKT VAL	62,500.	55,100.
JPM GLBL RES ENH INDEX FD - SEL	MKT VAL	222,641.	230,040.
DODGE & COX INCOME FD	MKT VAL	217,130.	216,970.
JPM STRAT INC OPP FD - SEL	MKT VAL	272,383.	268,217.
JPM HIGH YIELD FD - SEL	MKT VAL	130,778.	121,213.
JPM INTERM TAX FREE BD FD - INSTL	MKT VAL	200,000.	194,369.
JPM TAX AWARE R/R FD - INSTL	MKT VAL	130,238.	121,873.
JPM SH INT MUNI BD FD - INSTL	MKT VAL	872,737.	850,756.
DOUBLELINE TOTL RET BND-I	MKT VAL	215,568.	207,744.
		<b>TOTAL</b> <u>\$ 15,232,151.</u>	<u>\$ 14,902,083.</u>

**STATEMENT 9**  
**FORM 990-PF, PART II, LINE 14**  
**LAND, BUILDINGS, AND EQUIPMENT**

<u>CATEGORY</u>	<u>BASIS</u>	<u>ACCUM. DEPREC.</u>	<u>BOOK VALUE</u>	<u>FAIR MARKET VALUE</u>
MACHINERY AND EQUIPMENT	\$ 1,784.	\$ 59.	\$ 1,725.	\$ 1,725.
<b>TOTAL</b>	<u>\$ 1,784.</u>	<u>\$ 59.</u>	<u>\$ 1,725.</u>	<u>\$ 1,725.</u>

**STATEMENT 10**  
**FORM 990-PF, PART II, LINE 15**  
**OTHER ASSETS**

	<u>BOOK VALUE</u>	<u>FAIR MARKET VALUE</u>
DIVIDENDS RECEIVABLE	\$ 57,128.	\$ 57,128.
PREPAID EXCISE TAXES	14,194.	14,194.
<b>TOTAL</b>	<u>\$ 71,322.</u>	<u>\$ 71,322.</u>

2016

## FEDERAL STATEMENTS

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THE PETER AND PATRICIA GRUBER FOUNDATION

65-1230485

**STATEMENT 11**  
**FORM 990-PF, PART VII-A, LINE 10**  
**SUBSTANTIAL CONTRIBUTORS DURING THE TAX YEAR**

<u>NAME OF SUBSTANTIAL CONTRIBUTOR</u>	<u>ADDRESS OF SUBSTANTIAL CONTRIBUTOR</u>
PETER GRUBER REVOCABLE TRUST	6501 RED HOOK PLAZA, SUITE 201 ST. THOMAS, VI 00802

**STATEMENT 12**  
**FORM 990-PF, PART XV, LINE 3A**  
**RECIPIENT PAID DURING THE YEAR**

<u>NAME AND ADDRESS</u>	<u>DONEE RELATIONSHIP</u>	<u>FOUND- ATION STATUS</u>	<u>PURPOSE OF GRANT</u>	<u>AMOUNT</u>
COMMUNITY FOUNDATION OF THE VI P.O. BOX 11790 ST. THOMAS VI 00801	N/A	PC	LAWS OF LIFE CHARACTER BUILDING ESSAY CONTEST FOR HIGH SCHOOL STUDENTS	\$ 9,400.
TIBETAN BUDDHIST RESOURCE CENTER 115 FIFTH AVENUE, 7TH FLOOR NEW YORK NY 10003	N/A	PC	ROBERT HO MATCHING GRANT	50,000.
WISDOM PUBLICATIONS 199 ELM STREET SOMERVILLE MA 02144	N/A	PC	FOR PUBLISHING TIBETAN LITERARY CLASSICS	15,000.
WOMEN'S ENEWS 6 BARCLAY STREET, SIXTH FLOOR NEW YORK NY 10007	N/A	PC	TO SUPPORT WOMEN'S NEEDS AND RELATED ISSUES	5,000.
TIBETAN BUDDHIST RESOURCE CENTER 115 FIFTH AVENUE, 7TH FLOOR NEW YORK NY 10003	N/A	PC	SUPPORT FOR PRESERVATION OF TIBETAN CULTURE	200,000.
EQUAL JUSTICE INITIATIVE 122 COMMERCE STREET MONTGOMERY AL 36104	N/A	PC	TO SUPPORT LEGAL REPRESENTATION FOR PERSONS DENIED FAIR AND JUST TREATMENT	10,000.
GLOBAL FUND FOR WOMEN 45 BROADWAY, SUITE 320 NEW YORK NY 10006	N/A	PC	IMPROVING WOMEN'S ISSUES AND HUMAN RIGHTS	25,000.
84000 P.O. BOX 4109 NEW YORK NY 10163	N/A	PC	TRANSLATING THE WORDS OF THE BUDDHA	25,000.

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**STATEMENT 12 (CONTINUED)**  
**FORM 990-PF, PART XV, LINE 3A**  
**RECIPIENT PAID DURING THE YEAR**

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
FOUNDATIONAL QUESTIONS INSTITUTE PO BOX 3655 DECATUR GA 30031	N/A	PC	ESSAY CONTEST TO ENCOURAGE AND SUPPORT RIGOROUS, INNOVATIVE, AND INFLUENTIAL THINKING ABOUT FOUNDATIONAL QUESTIONS IN PHYSICS AND COSMOLOGY	\$ 125,000.
AMERICAN COMMITTEE FOR THE WEIZMANN INST 633 3RD AVENUE NEW YORK NY 10017	N/A	PC	TO SUPPORT MULTI-DISCIPLINA RY RESEARCH PROJECTS	1,000,000.
KENT SCHOOL CORPORATION 1 MACEDONIA RD KENT CT 06757	N/A	PC	PARTRIDGE SCHOLAR PROGRAM SPECIFICALLY FOR A FOREIGN STUDENT	25,000.
INTERNATIONAL WOMEN'S HEALTH COALITION 333 SEVENTH AVENUE, 6TH FLOOR NEW YORK NY 10001	N/A	PC	PIONEERING IDEAS TO INTERNATIONAL NEGOTIATIONS ON WOMEN'S RIGHTS AND HEALTH	5,000.
WORLD BICYCLE RELIEF 1000 W. FULTON MARKET, 4TH FLOOR CHICAGO IL 60607	N/A	PC	TO SUPPORT WORLD BICYCLE RELIEF WORK ON SUSTAINABLE TRANSPORTATION IN THE DEVELOPING WORLD	5,000.
SOUTHERN POVERTY LAW CENTER 400 WASHINGTON AVENUE MONTGOMERY AL 36104	N/A	PC	TO SUPPORT THE FIGHTING OF HATE AND BIGOTRY AND TO SEEK JUSTICE FOR THE MOST VULNERABLE MEMBERS OF OUR SOCIETY	5,000.
INDIAN LAW RESOURCE CENTER 602 NORTH EWING STREET HELENA MT 59601	N/A	PC	TO PROVIDE LEGAL ASSISTANCE TO INDIGENOUS PEOPLE OF THE AMERICAS	5,000.

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**STATEMENT 12 (CONTINUED)**  
**FORM 990-PF, PART XV, LINE 3A**  
**RECIPIENT PAID DURING THE YEAR**

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
CLIMATE RIDE 111 N. HIGGINS AVENUE, SUITE 415 MISSOULA MT 59802	N/A	PC	TO SUPPORT ORGANIZATIONS THAT ENGAGE CITIZENS IN THE POSSIBILITY OF A GREEN ECONOMY AND TRANSPORTATION	\$ 5,000.
			<b>TOTAL</b>	<b><u>\$ 1,514,400.</u></b>

12/31/16

## 2016 FEDERAL BOOK DEPRECIATION SCHEDULE

THE PETER AND PATRICIA GRUBER FOUNDATION

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