Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

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

OMB No 1545-0052

2016

Open to Public Inspection

For calendar year 2016 or tax year beginning 03/01, 2016, and ending 02/28, 2017

Name of foundation: DOTY FAMILY FOUNDATION	A Employer identification number: 13-2921496
Number and street (or P O box number if mail is not delivered to street address): C/O EY US LLP; 77 WATER ST - 9TH FL — Room/suite	B Telephone number (see instructions): (212) 440-0800
City or town, state or province, country, and ZIP or foreign postal code: NEW YORK, NY 10005	C If exemption application is pending, check here ▶ ☐

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

D 1 Foreign organizations check here ▶ ☐
2 Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ $ 6,677,828.

J Accounting method: [X] Cash ☐ Accrual ☐ Other (specify)
(Part I, column (d) must be on cash basis)

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

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))*

	Line	Description	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income N/A	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc, received (attach schedule)	NONE			
	2	Check ▶ ☐ if the foundation is not required to attach Sch B				
	3	Interest on savings and temporary cash investments	198.	198.		ATCH 1
	4	Dividends and interest from securities	172,456.	172,421.		ATCH 2
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	99,893.			
	b	Gross sales price for all assets on line 6a 650,036.				
	7	Capital gain net income (from Part IV, line 2)		99,048.		
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule) ATCH 3	484.	413.		
	12	**Total.** Add lines 1 through 11	273,031.	272,080.	0.	
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	18,000.	4,500.		13,500.
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule) ATCH 4	6,700.	1,675.		5,025.
	c	Other professional fees (attach schedule) [5]	32,707.	32,707.		
	17	Interest				
	18	Taxes (attach schedule) (see instructions) [6]	13,534.			
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule) ATCH 7	11,651.	1,611.		9,970.
	24	**Total operating and administrative expenses** Add lines 13 through 23	82,592.	40,493.		28,495.
	25	Contributions, gifts, grants paid	556,587.			556,587.
	26	Total expenses and disbursements Add lines 24 and 25	639,179.	40,493.	0.	585,082.
	27	Subtract line 26 from line 12				
	a	Excess of revenue over expenses and disbursements	-366,148.			
	b	**Net investment income** (if negative, enter -0-)		231,587.		
	c	**Adjusted net income** (if negative, enter -0-)			0.	

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Part II Balance Sheets

	Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets	1 Cash - non-interest-bearing	NONE	NONE	NONE
	2 Savings and temporary cash investments	148,675.	89,196.	89,196.
	3 Accounts receivable ▶			
	Less allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶			
	Less allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U S and state government obligations (attach schedule)			
	b Investments - corporate stock (attach schedule) ATCH 8	3,360,084.	2,730,139.	4,176,588.
	c Investments - corporate bonds (attach schedule) ATCH 9	397,300.	321,791.	343,927.
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶			
	12 Investments - mortgage loans			
	13 Investments - other (attach schedule) ATCH 10		156,229.	118,160.
	14 Land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶			
	15 Other assets (describe ▶ ATCH 11)	1,845,365.	2,087,921.	1,949,957.
	16 **Total assets** (to be completed by all filers - see the instructions Also, see page 1, item I)	5,751,424.	5,385,276.	6,677,828.
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 ▶ ☐ 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. ▶ ☒			
	27 Capital stock, trust principal, or current funds	5,751,424.	5,385,276.	
	28 Paid-in or capital surplus, or land, bldg , and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 **Total net assets or fund balances** (see instructions)	5,751,424.	5,385,276.	
	31 **Total liabilities and net assets/fund balances** (see instructions)	5,751,424.	5,385,276.	

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	5,751,424.
2	Enter amount from Part I, line 27a	2	-366,148.
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	5,385,276.
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	5,385,276.

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1 a	SEE PART IV SCHEDULE			
b				
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				
b				
c				
d				
e				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a				
b				
c				
d				
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	99,048.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8	3	0.

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

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	824,441.	7,007,458.	0.117652
2014	1,013,717.	7,755,106.	0.130716
2013	2,035,056.	8,247,816.	0.246739
2012	786,524.	7,474,000.	0.105235
2011	559,203.	5,889,119.	0.094955

2	**Total** of line 1, column (d)	2	0.695297
3	Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.139059
4	Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	6,500,412.
5	Multiply line 4 by line 3	5	903,941.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	2,316.
7	Add lines 5 and 6	7	906,257.
8	Enter qualifying distributions from Part XII, line 4	8	585,082.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 . . . Date of ruling or determination letter ______ (attach copy of letter if necessary - see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b	1	4,632.
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	4,632.
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	4,632.
6	Credits/Payments		
a	2016 estimated tax payments and 2015 overpayment credited to 2016 — 6a: 11,000.		
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	11,000.
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached	8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	6,368.
11	Enter the amount of line 10 to be **Credited to 2017 estimated tax** ▶ 6,368. **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?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1b		X
	*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*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		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*	2		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*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		N/A
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T*	5		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?	6	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*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NY,			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	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*	9		X
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		X

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

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ N/A

14 The books are in care of ▶ ERNST & YOUNG US LLP Telephone no ▶ 212-440-0800

Located at ▶ 77 WATER STREET, 9TH FLOOR, NEW YORK, NY ZIP+4 ▶ 10005

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

			Yes	No
16	At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
	See the instructions for exceptions and filing requirements for FinCEN Form 114 If "Yes," enter the name of the foreign country ▶			

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

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

			Yes	No
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? **(Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b		N/A
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
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		N/A
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☒ No			
	If "Yes," list the years ▶ ____, ____, ____, ____			
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		N/A
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ ____, ____, ____, ____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2016 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016)*	3b		N/A
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

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 [X]		
	(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 [X]		
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	Yes [ ] No [X]		
	(4) Provide a grant to an organization other than a charitable, etc, organization described in section 4945(d)(4)(A)? (see instructions)	Yes [ ] No [X]		
	(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 [X]		
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**	N/A
	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? N/A	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 [X]		
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 [X]		
b	If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?		**7b**	N/A

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 12		18,000.	0.	0.

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

(a) Name and address of each employee paid more than $50,000	(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		0.	0.	0.

Total number of other employees paid over $50,000 ▶

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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		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
1 PLEASE NOTE, THE FOUNDATION IS NOT INVOLVED IN ANY DIRECT CHARITABLE ACTIVITIES. ITS PRIMARY PURPOSE IS TO SUPPORT, BY CONTRIBUTIONS, OTHER ORGANIZATIONS EXEMPT UNDER SECTION	NONE
2 501(C)(3) OF THE INTERNAL REVENUE CODE.	
3	
4	

Part IX-B **Summary of Program-Related Investments** (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 N/A	NONE
2 N/A	
All other program-related investments See instructions	
3 N/A	
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)

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	5,505,287.
b	Average of monthly cash balances	1b	985,333.
c	Fair market value of all other assets (see instructions)	1c	108,783.
d	**Total** (add lines 1a, b, and c)	1d	6,599,403.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	6,599,403.
4	Cash deemed held for charitable activities Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	98,991.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	6,500,412.
6	**Minimum investment return.** Enter 5% of line 5	6	325,021.

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	325,021.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	4,632.		
b	Income tax for 2016 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	4,632.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	320,389.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	320,389.
6	Deduction from distributable amount (see instructions)			6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1			7	320,389.

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	585,082.
b	Program-related investments - total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	585,082.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	585,082.

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					320,389.
2 Undistributed income, if any, as of the end of 2016					
a Enter amount for 2015 only				NONE	
b Total for prior years 20____,20____,20____			NONE		
3 Excess distributions carryover, if any, to 2016					
a From 2011	268,457.				
b From 2012	416,458.				
c From 2013	1,630,819.				
d From 2014	640,752.				
e From 2015	484,602.				
f **Total** of lines 3a through e		3,441,088.			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ $ 585,082.					
a Applied to 2015, but not more than line 2a					
b Applied to undistributed income of prior years (Election required - see instructions)					
c Treated as distributions out of corpus (Election required - see instructions)					
d Applied to 2016 distributable amount					320,389.
e Remaining amount distributed out of corpus		264,693.			
5 Excess distributions carryover applied to 2016 *(If an amount appears in column (d), the same amount must be shown in column (a).)*					
6 **Enter the net total of each column as indicated below:**					
a Corpus Add lines 3f, 4c, and 4e Subtract line 5		3,705,781.			
b Prior years' undistributed income Subtract line 4b from line 2b					
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed					
d Subtract line 6c from line 6b Taxable amount - see instructions					
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount - see instructions				NONE	
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017					NONE
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)					
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)		268,457.			
9 **Excess distributions carryover to 2017.** Subtract lines 7 and 8 from line 6a		3,437,324.			
10 Analysis of line 9					
a Excess from 2012	416,458.				
b Excess from 2013	1,630,819.				
c Excess from 2014	640,752.				
d Excess from 2015	484,602.				
e Excess from 2016	264,693.				

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)

	Tax year	Prior 3 years			
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	(e) Total
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test - enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test-enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter					
(1) Total support other than gross investment income (interest, dividends rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942 (j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation had $5,000 or more in assets at any time during the year - see instructions.)

1 **Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

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

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

c Any submission deadlines

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

Part XV Supplementary Information *(continued)*

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
SEE LIST ATTACHED				556,587.
Total . . . . ▶ **3a**				556,587.
b *Approved for future payment*				
Total . . . . ▶ **3b**				

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) 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			14	198.	
4 Dividends and interest from securities	523000	35.	14	172,421.	
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	523000	845.	18	99,048.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a					
b ATCH 13		71.		413.	
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)		951.		272,080.	

13 Total Add line 12, columns (b), (d), and (e) . . . 13 273,031.

(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

			Yes	No
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	1a(1)		X
	(2) Other assets	1a(2)		X
b	Other transactions:			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

d If the answer to any of the above is "Yes," complete the following schedule. Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received.

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
	N/A		N/A

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

b If "Yes," complete the following schedule.

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

Sign Here

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

Signature of officer or trustee | Date: 7/3/17 | Title: TRUSTEE

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
WILLIAM RABETZ		6/29/17		P00963994

Firm's name ▶ ERNST & YOUNG U.S. LLP — Firm's EIN ▶ 34-6565596

Firm's address ▶ 77 WATER STREET, 9TH FL NEW YORK, NY 10005 — Phone no. 212-41[illegible]-0800

SUPPLEMENTARY STATEMENTS

PART: XV **LINE: 2** **SUPPLEMENTAL INFORMATION**

THE ORGANIZATION'S PRIMARY ACTIVITY IS TO SUPPORT, BY CONTRIBUTIONS, OTHER ORGANIZATIONS QUALIFYING FOR EXEMPTION UNDER SECTION 501(c)(3) OF THE INTERNAL REVENUE CODE THE TRUSTEES CHOOSE THESE ORGANIZATIONS BASED UPON THEIR KNOWLEDGE OF THE ORGANIZATIONS' ACTIVITIES NO CONTRIBUTIONS, GRANTS, GIFTS, LOANS OR SCHOLARSHIPS ARE MADE TO INDIVIDUALS THE ORGANIZATION DOES NOT PRESENTLY RECEIVE APPLICATIONS OR CONDUCT PROGRAMS FOR DONATIONS IN ITS ACTIVITIES

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)	
		SALE OF MARKETABLE SECURITIES					VAR	VAR
645,528.		550,085.					95,443.	
		STCG(L) THRU K-1S						
		58.					-58.	
		LTCG(L) THRU K-1S						
3,309.							3,309.	
		SEC 1231 15% G(L) THRU K-1S						
313.							313.	
		SEC 1250 25% G(L) THRU K-1S						
41.							41.	
TOTAL GAIN(LOSS)							99,048.	

ATTACHMENT 1

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

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME
INTEREST ON CREDIT BALANCE	191.	191.	
INTEREST ON CHECKING	7.	7.	
TOTAL	198.	198.	

ATTACHMENT 2

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

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME
DIVIDENDS THRU MERRILL LYNCH	120,049.	120,049.	
INTEREST ON BONDS THRU MERRILL LYNCH	22,938.	22,938.	
DIVIDENDS - THORNBURG INT'L FD CL A	5,771.	5,771.	
DIVIDENDS - TEMPLETON GLOBAL BOND FD	20,394.	20,394.	
DIVIDENDS THRU K-1S	434.	434.	
DIVIDENDS THRU K-1S - UBTI	7.		
INTEREST THRU K-1S	2,835.	2,835.	
INTEREST THRU K-1S -UBTI	28.		
TOTAL	172,456.	172,421.	

ATTACHMENT 3

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME
OTHER INCOME	127.	127.	
ORDINARY INCOME THRU K-1S	23.	23.	
ORDINARY INCOME THRU K-1S -UBTI	120.		
RENTAL REAL ESTATE INCOME THRU K-1S	35.	35.	
RENTAL REAL ESTATE INCOME THRU K-1S-UBTI	83.		
ROYALTIES THRU K-1S	15.	15.	
OTHER INCOME THRU K-1S	195.	195.	
OTHER INCOME THRU K-1S-UBTI	-132.		
SEC 988 THRU K-1S	27.	27.	
SEC 987 THRU K-1S	-9.	-9.	
TOTALS	484.	413.	

ATTACHMENT 4

FORM 990PF, PART I - ACCOUNTING FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
ERNST & YOUNG US LLP	6,700.	1,675.		5,025.
TOTALS	6,700.	1,675.		5,025.

ATTACHMENT 5

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEES	32,557.	32,557.		
ANNUAL FEE-MERRILL LYNCH	150.	150.		
TOTALS	32,707.	32,707.		

ATTACHMENT 6

FORM 990PF, PART I - TAXES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
FEDERAL TAX PAID:				
- 1ST QTR EST FYE 2/28/2017	11,000.			
- BAL DUE FYE 2/29/2016	2,534.			
TOTALS	13,534.			

ATTACHMENT 7

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
CHARITABLE EXPENSE	1,661.			1,661.
PUBLICATION NOTICE FEE	150.			150.
FOREIGN TAX PAID	1,404.	1,404.		
BANK CHARGES	409.			409.
FADICA ANNUAL MEMBERSHIP DUES	7,500.			7,500.
NY FILING FEE	250.			250.
FOREIGN TAX PAID THRU K-1S	14.	14.		
FOREIGN TAX PAID THRU K-1-UBTI	1.			
INTEREST EXPENSE THRU K-1S	152.	152.		
INTEREST EXPENSE THRU K1S-UBTI	53.			
PORTFOLIO DEDUCTIONS THRU K-1S	52.	52.		
SEC 59(E)(2) THRU K-1S	-11.	-11.		
SEC 59(E)(2) THRU K-1S-UBTI	16.			
TOTALS	11,651.	1,611.		9,970.

ATTACHMENT 8

FORM 990PF, PART II - CORPORATE STOCK

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
SEE LONG POSITION ATTACHED	3,360,084.	2,730,139.	4,176,588.
TOTALS	3,360,084.	2,730,139.	4,176,588.

ATTACHMENT 9

FORM 990PF, PART II - CORPORATE BONDS

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
SEE LONG POSITION ATTACHED	397,300.	321,791.	343,927.
TOTALS	397,300.	321,791.	343,927.

ATTACHMENT 10

FORM 990PF, PART II - OTHER INVESTMENTS

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
THE BLACKSTONE GROUP LP	156,229.	118,160.
TOTALS	156,229.	118,160.

ATTACHMENT 11

FORM 990PF, PART II - OTHER ASSETS

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
ML BANK DEPOSIT PROGRAM	430,197.	666,982.	666,982.
THORNBURG INT'L VALUE FD CL A	404,329.	410,100.	356,455.
TEMPLETON GLOBAL BOND FD CL A	1,010,839.	1,010,839.	926,520.
TOTALS	1,845,365.	2,087,921.	1,949,957.

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

ATTACHMENT 12

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
BARBARA E. DOTY C/O EY US LLP; 77 WATER ST - 9TH FL NEW YORK, NY 10005	TREASURER / PART-TIME	0.	0.	0.
CHRISTOPHER S. DOTY C/O EY US LLP; 77 WATER ST - 9TH FL NEW YORK, NY 10005	TRUSTEE / PART-TIME	0.	0.	0.
WILLIAM W. DOTY C/O EY US LLP; 77 WATER ST - 9TH FL NEW YORK, NY 10005	TRUSTEE / PART-TIME	0.	0.	0.
ANNE MARIE PAINE C/O EY US LLP; 77 WATER ST - 9TH FL NEW YORK, NY 10005	CHAIR & SECRETARY / PART-TIME	18,000.	0.	0.
VIRGINIA M. DOTY C/O EY US LLP; 77 WATER ST - 9TH FL NEW YORK, NY 10005	TRUSTEE / PART-TIME	0.	0.	0.
	GRAND TOTALS	18,000.	0.	0.

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

ATTACHMENT 13

DESCRIPTION	BUSINESS CODE	AMOUNT	EXCLUSION CODE	AMOUNT	RELATED OR EXEMPT FUNCTION INCOME
ORDINARY INCOME THRU K-1S	523000	120.	01	23.	
RENTAL REAL ESTATE INCOME THRU K-1S	523000	83.	01	35.	
OTHER INCOME (LOSS) THRU K-1S	523000	-132.	01	195.	
OTHER INCOME (LOSS)			01	127.	
ROYALTIES THRU K-1S			01	15.	
SEC 988 THRU K-1S			01	27.	
SEC 987 THRU K-1S			01	-9.	
TOTALS		71.		413.	

THE DOTY FAMILY FOUNDATION
CHARITABLE CONTRIBUTIONS
FYE 2/28/2017
EIN: 13-2921496

DATE	NAME OF ORGANIZATION	CITY	STATE	AMOUNT
3/1/2016	American Heart Association	New York	NY	750 00
3/1/2016	Fordham University	Bronx	NY	10,000 00
3/1/2016	St Paul Church	Princeton	NJ	7,800 00
3/1/2016	Fordham University	Bronx	NY	7,500.00
3/1/2016	St Baldrick's Foundation	Monrovia	CA	750 00
3/1/2016	St Baldrick's Foundation	Monrovia	CA	600 00
3/1/2016	St Baldrick's Foundation	Monrovia	CA	375 00
3/1/2016	St Baldrick's Foundation	Monrovia	CA	375 00
3/1/2016	St Baldrick's Foundation	Monrovia	CA	375 00
3/1/2016	St Baldrick's Foundation	Monrovia	CA	225 00
3/1/2016	St Baldrick's Foundation	Monrovia	CA	600 00
3/1/2016	St Joseph Church	Boston	MA	1,500 00
3/1/2016	Fordham University	Bronx	NY	15,689 00
3/1/2016	Fordham University	Bronx	NY	3,061 00
3/1/2016	St Lawrence Church	Shelton	CT	600 00
3/8/2016	The Orange Foundation	Orange	CT	750 00
3/11/2016	St Jude Children's Research Center	Memphis	TN	750 00
3/18/2016	Alfred E Smith Memorial Foundation	New York	NY	18,750 00
3/21/2016	St Lawrence Church	Shelton	CT	750 00
3/21/2016	St Ignatius Loyola Day Nursery	New York	NY	3,000 00
3/31/2016	National Children's Hospital Foundation	Columbus	OH	375 00
4/1/2016	St Lawrence Church	Shelton	CT	600 00
4/4/2016	Multiple Myeloma Research Foundation	Norwalk	CT	750 00
4/6/2016	College of Mount Saint Vincent	Riverdale	NY	7,650 00
4/12/2016	Boston Children's Hospital Trust	Boston	MA	150 00
4/15/2016	James Wilson Institute	Washington	DC	7,500 00
4/17/2016	The Public Theater	New York	NY	3,000 00
4/17/2016	Parsons Dance	New York	NY	750 00
4/17/2016	Catholic Big Sisters & Big Brothers	New York	NY	750 00
4/19/2016	Boys and Girls Club of Greater Derry	Derry	NH	4,500 00
4/19/2016	Parkinson's Unity Walk	Kingston	NJ	300 00
4/20/2016	STEM Advantage	Coto de Caza	CA	3,750 00
4/20/2016	Trustees of the University of Pennsylvania	Philadelpjhia	PA	1,500 00
5/4/2016	St Lawrence Church	Shelton	CT	600 00
5/4/2016	Memorial Sloan Kettering Cancer Center	New York	NY	150 00
5/4/2016	The Public Theater	New York	NY	600 00
5/19/2016	School of the Holy Child	Rye	NY	19,124 52
5/21/2016	High Water Women Foundation	New York	NY	300 00
5/23/2016	Thirteen Associates	New York	NY	1,500 00
5/25/2016	Carnegie Hall Society	New York	NY	375 00
5/28/2016	Annual Catholic Appeal	Bridgeport	CT	375 00
6/3/2016	St Lawrence Church	Shelton	CT	600 00
6/3/2016	St Lawrence Church	Shelton	CT	1,500 00
6/13/2016	Anchor House Foundation	Trenton	NJ	300 00
7/3/2016	St Lawrence Church	Shelton	CT	600 00
7/6/2016	The Ladies Village Improvement Society	East Hampton	NY	750 00
7/8/2016	St Lawrence School	Shelton	CT	7,500 00
7/16/2016	Sag Harbor Volunteer Ambulance	Sag Harbor	NY	750 00
8/6/2016	St Lawrence Church	Shelton	CT	600 00
8/20/2016	Sag Harbor Fire Department	Sag Harbor	NY	750 00
8/22/2016	The Children's Tumor Foundation	New York	NY	375 00
8/23/2016	Central Park Conservancy	New York	NY	750 00
8/29/2016	Connecticut Food Bank	Wallingford	CT	3,750 00
8/29/2016	Villanova University	Villanova	PA	52,000 00
9/2/2016	Washington Crossing Council, BSA	Doylestown	PA	300 00
9/2/2016	Spectrum Designs Foundation	Port Washington	NY	1,500 00

THE DOTY FAMILY FOUNDATION
CHARITABLE CONTRIBUTIONS
FYE 2/28/2017
EIN: 13-2921496

DATE	NAME OF ORGANIZATION	CITY	STATE	AMOUNT
9/2/2016	St Lawrence Church	Shelton	CT	600 00
9/2/2016	Fairfield SEPTA	Fairfield	CT	1,875.00
9/2/2016	World Villages for Children (formerly Asian Relief)	Annapolis	MD	7,500 00
9/2/2016	Lifting Up Westchester	White Plains	NY	7,500.00
9/6/2016	College of Mount Saint Vincent	Riverdale	NY	7,500 00
9/9/2016	MathCounts	Alexandria	VA	7,500 00
9/9/2016	Susan G Komen of Greater New York	New York	NY	150 00
9/19/2016	Iona Preparatory School	New Rochelle	NY	22,618 80
9/19/2016	Georgetown University	Washington	DC	780 00
9/19/2016	Ocular Immunology & Uveitis Foundation	Weston	MA	750 00
9/30/2016	Amherst College Alumni Fund	Amherst	MA	1,500 00
10/1/2016	St Lawrence Chiurch	Shelton	CT	600 00
10/4/2016	American Foundation for Suicide Prevention	New York	NY	150 00
10/10/2016	Diocese of Trenton	Trenton	NJ	9,000 00
10/14/2016	LSA Family Health Service	New York	NY	750 00
10/28/2016	St Lawrence Church	Shelton	CT	750 00
10/31/2016	The Metropolitan Opera	New York	NY	7,500 00
11/1/2016	St. Lawrence Church	Shelton	CT	600 00
11/18/2016	Trustees of the University of Pennsylvania	Philadelpjhia	PA	113,602.50
11/26/2016	Cambridge in America	New York	NY	11,361 00
12/1/2016	St Lawrence Church	Shelton	CT	1,650 00
12/1/2016	Cardinal Spellman High School	Bronx	NY	750 00
12/1/2016	The Dalton School	New York	NY	1,875 00
12/1/2016	Facing History and Ourselves	Brookline	MA	750 00
12/1/2016	Highbridge Voices	Bronx	NY	750 00
12/1/2016	Child Mind Institute	New York	NY	750.00
12/5/2016	Catholic Big Sisters & Big Brothers	New York	NY	1,875 00
12/5/2016	The NJ Sharing Network Foundation	Montvale	NJ	750 00
12/11/2016	FISH of Stamford, Inc	Stamford	CT	750 00
12/11/2016	School of the Holy Child	Rye	NY	750 00
12/11/2016	Rosemont College	Rosemont	PA	750 00
12/11/2016	World Villages for Children (formerly Asian Relief)	Annapolis	MD	3,000 00
12/11/2016	College of Mount Saint Vincent	Riverdale	NY	7,500 00
12/11/2016	St Lawrence Church	Shelton	CT	7,500 00
12/16/2016	ShareBaby Inc.	Brooklandville	MD	375 00
12/16/2016	GiveDirectly, Inc	New York	NY	3,750 00
12/16/2016	The Dalton School	New York	NY	375 00
12/16/2016	St Andrew Church	Sag Harbor	NY	3,750 00
12/16/2016	Cathedral of Mary Our Queen	Baltimore	MD	3,750 00
12/16/2016	St Vincent's Hospital Westchester	Harrison	NY	750 00
12/16/2016	Columbia Business School	New York	NY	7,500 00
12/16/2016	Irish Arts Center	New York	NY	750 00
12/16/2016	ALS TDI	Piedmont	CA	1,875 00
12/16/2016	College of Mount Saint Vincent	Riverdale	NY	15,000 00
12/16/2016	The Doe Fund	New York	NY	750 00
12/18/2016	Church of the Resurrection	Rye	NY	750 00

THE DOTY FAMILY FOUNDATION
CHARITABLE CONTRIBUTIONS
FYE 2/28/2017
EIN: 13-2921496

DATE	NAME OF ORGANIZATION	CITY	STATE	AMOUNT
12/18/2016	Trees for Cities	London	England	3,750 00
12/18/2016	American Fund for the Southbank Centre	New York	NY	600 00
12/18/2016	Doctors Without Borders	New York	NY	300 00
12/18/2016	Natural Resources Defense Council	New York	NY	150 00
12/18/2016	350 org	Brooklyn	NY	150 00
12/18/2016	Union of Concerned Scientists	Cambridge	MA	375 00
12/18/2016	Our Children's Trust	Eugene	OR	375 00
12/23/2016	The Bryn Mawr School	Baltimore	MD	750 00
12/23/2016	Maryland Food Bank	Baltimore	MD	750 00
12/24/2016	St Lawrence Church	Shelton	CT	150 00
12/28/2016	Abbey of Regina Laudis	Bethlehem	CT	750 00
12/29/2016	The Art of Problem Solving Foundation	New York	NY	450 00
12/29/2016	Harvard College	Cambridge	MA	150 00
12/29/2016	Center for Excellence in Education	McLean	VA	225 00
12/29/2016	Help Us Adopt Org	New York	NY	450.00
12/31/2016	Catholic Big Sisters & Big Brothers	New York	NY	750 00
12/31/2016	Church of St Ignatius Loyola	New York	NY	750 00
12/31/2016	Yale Law School	New Haven	CT	750 00
12/31/2016	Amherst College Alumni Fund	Amherst	MA	150 00
12/31/2016	Collegiate School	New York	NY	750 00
12/31/2016	Cardinal's Appeal	New York	NY	750 00
12/31/2016	Amnesty International	New York	NY	750 00
1/1/2017	St Lawrence Church	Shelton	CT	600 00
1/5/2017	McDonogh School	Owings Mills	MD	1,875 00
1/31/2017	College of Mount Saint Vincent	Riverdale	NY	1,500 00
1/31/2017	St Lawrence Church	Shelton	CT	1,500 00
2/2/2017	St Lawrence Church	Shelton	CT	600 00
2/3/2017	NAMI Walks	Arlington	VA	750 00
2/10/2017	Catholic Near East Welfare Association	New York	NY	30,000 00
2/10/2017	NAMI Walks	Arlington	VA	750 00
2/12/2017	College of Mount Saint Vincent	Riverdale	NY	10,000 00
2/12/2017	Columbia Business School	New York	NY	5,000 00
2/12/2017	Collegiate School	New York	NY	5,000 00
2/12/2017	Barnard College	New York	NY	5,000 00
2/13/2017	St Paul Parish	Princeton	NJ	5,550 00
2/13/2017	Trenton Area Soup Kitchen	Trenton	NJ	300 00
2/13/2017	Georgetown University	Washington	DC	1,500 00
2/13/2017	Babson College	Babson	MA	300 00
2/16/2017	Divine Word Missionaries	Techny	IL	150 00

TOTAL CONTRIBUTION PAID* $556,586 82

* All contributions were made to the general purpose fund of *public charitable organizations that were classified under Section 501(c)(3) of the Internal Revenue Code*

DOTY FAMILY FOUNDATION
CLOSING LONG POSITION
AT 2/28/2017

CORPORATE BONDS *Description*	*Acquired*	*Quantity*	*Adjusted/Total Cost Basis*	*Estimated Market Price*	*Estimated Market Value*	*Unrealized Gain/(Loss)*	*Estimated Accrued Interest*	*Estimated Annual Income*	*Current Yield%*
θ MERRILL LYNCH & CO GLB 06 400% AUG 28 2017 MOODY'S. BAA1 S&P: BBB+ CUSIP 59018YJ69 ORIGINAL UNIT/TOTAL COST: 93 4107/46,705 35	06/05/09	50,000	46,705.35	102.4590	**51,229.50**	4,524.15		**3,200**	6.24

YOUR EMA ASSETS

CORPORATE BONDS (continued) Description	Acquired	Quantity	Adjusted/Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield%
Δ WALT DISNEY COMPANY	06/05/08	50,000	50,238.47	103.5220	**51,761.00**	1,522 53	595.66	**2,938**	5.67
SER MTNB GLB 05 875% DEC 15 2017									
MOODY'S A2 S&P. A CUSIP. 25468PCB0									
ORIGINAL UNIT/TOTAL COST 104.6437/52,321 85									
θ GOLDMAN SACHS GROUP INC	06/05/09	50,000	47,870.85	103.7890	**51,894.50**	4,023.65	330.56	**2,975**	5.73
GLB 05 950% JAN 18 2018									
MOODY'S A3 S&P BBB+ CUSIP 38141GFG4									
ORIGINAL UNIT/TOTAL COST 95 7417/47,870 85									
PEPSICO INC	06/05/08	50,000	49,277.35	104.5800	**52,290.00**	3,012.65	604.17	**2,500**	4.78
SENIOR NOTES 05 000% JUN 01 2018									
MOODY'S. A1 S&P A CUSIP 713448BH0									
ORIGINAL UNIT/TOTAL COST 98 5547/49 277 35									
Δ ROYAL BK OF SCOTLAND PLC	05/24/11	75,000	77,039.97	110.9290	**83,196.75**	6,156 78	599 74	**4,594**	5 52
COMPANY GUARNT GLB 06 125% JAN 11 2021									
MOODY'S. A3 S&P BBB+ CUSIP 78010XAK7									
ORIGINAL UNIT/TOTAL COST 105 8791/79,409 35									
Δ ALCOA INC	05/24/11	50,000	50,658.80	107.1100	**53,555.00**	2,896.20	997 50	**2,700**	5.04
GLB 05.400% APR 15 2021									
MOODY'S BA2 S&P. BBB- CUSIP 013817AV3									
PAR CALL DATE. 01/15/21 PAR CALL PRICE 100.00									
ORIGINAL UNIT/TOTAL COST 102.7607/51,380.35									
TOTAL		325,000	321,790.79		**343,926.75**	22,135 96	3,127 63	**18,907**	5.50

PLEASE REFER TO NOTES BELOW FOR INFORMATION REGARDING CREDIT RATINGS.

EQUITIES Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Current Yield%
ACCENTURE PLC SHS	ACN	06/27/11	1,250	57.7801	72,225.21	122.5000	**153,125.00**	80,899.79	**3,025**	1.97

YOUR EMA ASSETS

EQUITIES (continued) *Description*	*Symbol*	*Acquired*	*Quantity*	*Unit Cost Basis*	*Total Cost Basis*	*Estimated Market Price*	*Estimated Market Value*	*Unrealized Gain/(Loss)*	*Estimated Annual Income*	*Current Yield%*
AMERICAN WTR WKS CO INC NEW	AWK	12/22/11	1,500	31.8081	47,712.28	78.0000	**117,000.00**	69,287.72	**2,251**	1.92
↑ AMGEN INC COM PV $0.0001	AMGN	06/25/08	750	46.9807	35,235.57	176.5300	**132,397.50**	97,161.93	**3,451**	2.60
AUTOMATIC DATA PROC	ADP	05/24/11	1,250	46.5531	58,191.44	102.6200	**128,275.00**	70,083.56	**2,851**	2.22
BANK OF AMERICA CORP	BAC	12/18/09	4,000	15.0506	60,202.66	24.6800	98,720.00	38,517 34	1,201	1 21
		09/24/12	5,000	9 1658	45,829.35	24.6800	123,400.00	77,570.65	1,501	1.21
Subtotal			*9,000*		*106,032.01*		***222,120.00***	*116,087.99*	***2,702***	*1.21*
CELGENE CORP COM	CELG	10/26/11	800	32.9166	26,333.35	123.5100	98,808 00	72,474.65		
		10/26/11	200	33.1613	6,632.27	123.5100	24,702.00	18,069.73		
Subtotal			*1,000*		*32,965.62*		***123,510.00***	*90,544.38*		
CISCO SYSTEMS INC COM	CSCO	06/10/03	1,175	17.3690	20,408.58	34.1800	40,161.50	19,752.92	1,363	3.39
		06/10/03	825	17.3700	14,330.25	34.1800	28,198.50	13,868.25	957	3.39
		06/25/08	1,000	24.9053	24,905.35	34.1800	34,180.00	9,274.65	1,160	3.39
		09/24/12	2,000	18.8201	37,640.35	34.1800	68,360.00	30,719.65	2,320	3.39
Subtotal			*5,000*		*97,284.53*		***170,900.00***	*73,615.47*	***5,800***	*3.39*
CITIGROUP INC COM NEW	C	03/30/00	187	420.8949	78,707.36	59.8100	11,184.47	(67,522.89)	120	1.07
		03/19/08	113	205.6756	23,241.35	59.8100	6,758.53	(16,482.82)	73	1.07
		09/23/09	700	47.6076	33,325.35	59.8100	41,867.00	8,541.65	449	1.07
		06/17/10	1,000	40.0033	40,003.35	59.8100	59,810.00	19,806.65	641	1.07
		09/24/12	1,000	33.5153	33,515 35	59.8100	59,810.00	26,294.65	641	1.07
Subtotal			*3,000*		*208,792.76*		***179,430.00***	*(29,362.76)*	***1,924***	*1.07*
EXXON MOBIL CORP COM	XOM	06/27/06	1,000	59.7237	59,723.76	81.3200	**81,320.00**	21,596.24	**3,000**	3.68
FORD MOTOR CO	F	12/24/13	8,250	15.2104	125,486.60	12.5300	**103,372.50**	(22,114.10)	**4,950**	4.78

YOUR EMA ASSETS

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Current Yield%
GENERAL ELECTRIC	GE	06/22/09	1,000	11 6615	11,661 53	29.8100	29,810.00	18,148.47	960	3.22
		09/23/09	3,000	17.3608	52,082.65	29.8100	89,430.00	37,347 35	2,880	3.22
Subtotal			*4,000*		*63,744.18*		***119,240.00***	*55,495.82*	**3,840**	*3.22*
GENERAL MOTORS CO COMMON SHARES	GM	06/01/15	3,500	36 3199	127,119.85	36.8400	**128,940.00**	1,820 15	**5,321**	4.12
GILEAD SCIENCES INC COM	GILD	12/22/11	1,000	19 3830	19,383.07	70.4800	**70,480.00**	51,096.93	**2,081**	2.95
GLAXOSMITHKLINE PLC ADR	GSK	08/23/05	1,722	47 7205	82,174.77	41.4800	71,428.56	(10,746.21)	3,417	4 78
		06/25/08	278	44.7391	12,437.47	41.4800	11,531.44	(906.03)	552	4.78
Subtotal			*2,000*		*94,612.24*		***82,960.00***	*(11,652.24)*	**3,969**	*4 78*
INTEL CORP	INTC	03/30/00	750	56.4070	42,305 26	36.2000	27,150.00	(15,155.26)	780	2.87
		12/16/02	3,000	18.1900	54,570.00	36.2000	108,600.00	54,030.00	3,120	2.87
		12/16/02	485	18.2130	8,833.31	36.2000	17,557.00	8,723.69	505	2 87
		12/16/02	15	18.2100	273.15	36.2000	543.00	269.85	16	2.87
Subtotal			*4,250*		*105,981.72*		***153,850.00***	*47,868.28*	**4,421**	*2.87*
INTL BUSINESS MACHINES CORP IBM	IBM	09/25/15	750	146.1011	109,575 85	179.8200	134,865.00	25,289.15	4,200	3.11
		12/29/15	250	138.5714	34,642 85	179.8200	44,955.00	10,312.15	1,400	3.11
Subtotal			*1,000*		*144,218 70*		***179,820.00***	*35,601.30*	**5,600**	*3.11*
KINDER MORGAN INC. DEL	KMI	04/15/15	3,500	43.2510	151,378.70	21.3100	**74,585.00**	(76,793.70)	**1,750**	2.34
KOHLS CORP WISC PV 1CT	KSS	09/25/15	2,000	48.0398	96,079 75	42.6200	**85,240.00**	(10,839.75)	**4,400**	5 16
LOCKHEED MARTIN CORP	LMT	07/17/12	500	87 2481	43,624.09	266.5800	**133,290.00**	89,665.91	**3,641**	2 73
MERCK AND CO INC SHS	MRK	03/28/06	1,250	35 7798	44,724.79	65 8700	82,337.50	37,612.71	2,350	2 85
		06/25/08	1,000	36 8046	36,804.65	65.8700	65,870 00	29,065.35	1,880	2 85
Subtotal			*2,250*		*81,529.44*		***148,207.50***	*66,678.06*	**4,230**	2 85
MICROSOFT CORP	MSFT	09/29/00	777	30.0824	23,374.10	63.9800	49,712.46	26,338.36	1,213	2 43
		06/22/09	1,723	23 4331	40,375 24	63.9800	110,237.54	69,862.30	2,688	2 43
Subtotal			*2,500*		*63,749.34*		***159,950.00***	*96,200.66*	**3,901**	2 43

DOTY FAMILY FOUNDATION

YOUR EMA ASSETS

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Current Yield%
MONSANTO CO NEW DEL COM	MON	09/23/09	500	78.1148	39,057.42	113.8300	56,915.00	17,857.58	1,081	1.89
		06/17/10	500	50.1087	25,054.35	113.8300	56,915 00	31,860.65	1,081	1.89
Subtotal			*1,000*		*64,111.77*		***113,830.00***	*49,718.23*	**2,162**	1.89
NATIONAL GRID PLC SP ADR	NGG	11/14/11	1,500	49.8226	74,734.01	60.8500	**91,275.00**	16,540 99	**4,436**	4.85
NOVARTIS ADR	NVS	09/23/09	1,250	49.1821	61,477.70	78.1700	**97,712.50**	36,234 80	**2,908**	2 97
PEPSICO INC	PEP	05/25/06	1,000	60.4635	60,463.57	110.3800	**110,380.00**	49,916.43	**3,010**	2.72
PFIZER INC	PFE	09/24/12	4,000	24.7785	99,114.28	34.1200	**136,480.00**	37,365.72	**5,121**	3.75
PRICE T ROWE GROUP INC	TROW	06/17/10	1,600	49.1657	78,665.19	71.2100	**113,936.00**	35,270.81	**3,648**	3.20
PROCTER & GAMBLE CO	PG	03/30/00	1,250	29 2379	36,547.42	91.0700	**113,837.50**	77,290.08	**3,348**	2.94
SCHLUMBERGER LTD	SLB	06/17/10	1,000	60.6593	60,659 35	80.3600	**80,360.00**	19,700.65	**2,000**	2.48
TEXAS INSTRUMENTS	TXN	12/18/09	2,500	25.2032	63,008.09	76.6200	**191,550.00**	128,541.91	**5,001**	2.61
W P CAREY INC COM	WPC	06/01/15	2,000	63.3734	126,746.93	63.0900	**126,180.00**	(566 93)	**7,920**	6.27
† WAL-MART STORES INC	WMT	06/20/07	1,500	48.8716	73,307.51	70.9300	**106,395.00**	33,087.49	**3,061**	2.87
WASTE MANAGEMENT INC NEW	WM	12/24/13	2,000	45.1318	90,263.72	73.3200	**146,640.00**	56,376.28	**3,399**	2.31
TOTAL					2,730,139.00		***4,176,588.00***	1,410,622 54	**125,204**	2.92

YOUR EMA ASSETS

LONG PORTFOLIO	Adjusted/Total Cost Basis	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield%
TOTAL	3,051,930.75	4,520,515.25	1,432,758.5	3,127.63	**171,304**	2.60