Form 990-PF

2949123705708

EXTENDED TO AUGUST 15, 2018
Return of Private Foundation
or Section 4947(a)(1) Trust Treated as Private Foundation

Dep	artmer		social security numbers on m 990-PF and its separate			Open to Public Inspection
		dar year 2018 or tax year beginning OCT		, and ending	SEP 30, 2017	
		foundation			A Employer identificatio	
		BARA AND ALBERT HORTON		NC	47-2615702	2
		nd street (or P O box number if mail is not delivered to street	address)	Room/suite	D Telephone number	
		1 JENNINGS LANE			502-589-10	000
		own, state or province, country, and ZIP or foreign p	ostal code		C If exemption application is	pending, check here . 🕨 📖
	-,,-,-	ISVILLE, KY 40218	<u> </u>			
Ģ	Check	all that apply: Initial return		ormer public charity	D 1. Foreign organization	s, check here
		Final return	Amended return		Foreign organizations m check here and attach c	eeting the 85% test,
	Chaok	type of organization: X Section 501(c)(3) ex	Name change	0. (·
, T	_		Other taxable private founda-	ation 4	E If private foundation sta under section 507(b)(1	
, <u>-</u> √		irket value of all assets at end of year J Accounti	···	Accrual /	7	
87		·	ther (specify)		F If the foundation is in a under section 507(b)(1	
u	▶\$	2,119,483. (Part I, colu		basis.)		,,(b), 6.100K 11010
P	art I	Y	(a) Revenue and	(b) Net investment	(c) Adjusted net	(d) Disbursements
		necessarily equal the amounts in column (a))	expenses per books	income	income	for charitable purposes (cash basis only)
	1	Contributions, gifts, grants, etc., received			N/A	
	2	Check If the foundation is not required to attach Sch. B				<u> </u>
	3	Interest on savings and temporary cash investments	ļ			<u> </u>
	4	Dividends and interest from securities	61,915.	61,915	· · · · · · · · · · · · · · · · · · ·	STATEMENT 1
	Ι.	Gross rents				-
	b b	· · · 	23-707:3\	ED 191		
9	l oa	Net gain or (loss) from sale of assets not on line 10. Gross sales price for all assets on line 8a. 447,158.	25, 87,31.	181		
2010 Revenue	7	assets on line 6a 447,130 • Capital gain net income (from Part IV, line 2)		2018 23 073	· ·	
		Net short-term capital gain	101 AUG	har burney		
©	9	Income modifications	18/	السياتيا الم		(
≈	10a	Gross sales less returns and allowances .	Pogni	المستسلطة		
SEP	b	Less Cost of goods sold	- Lander			
_	, ,	Gross profit or (loss)				
اليا الل	11	Other income	04 000	04 000		
2	12	Total. Add lines 1 through 11	84,988. 100,000.	84,988		0.
CANINED	13 14	Compensation of officers, directors, trustees, etc Other employee salaries and wages	100,000.	<u> </u>	<u>' • </u>	0.
		Pension plans, employee benefits				
ű	16a	Legal fees			· · · · · · · ·	<u> </u>
Δ dministrative Expenses $S($	b	Accounting fees STMT 2	5,500.	4,500		1,000.
Ž	C	Other professional fees STMT 3	10,346.	10,346		0.
5	17	Interest				
<u> </u>	18	Taxes STMT 4	4,176.	2,841	. •	0.
. <u></u>	19	Depreciation and depletion	<u> </u>			<u> </u>
<u> </u>	20	Occupancy				
4	21	Travel, conferences, and meetings				
קמ	22	Printing and publications			 	
Operating	23	Total operating and administrative			 	+
2	-	expenses. Add lines 13 through 23	120,022.	17,687	,	1,000.
ć	25	Contributions, gifts, grants paid	27,000.	2,,00,		27,000.
		Total expenses and disbursements.				
		Add lines 24 and 25	147,022.	17,687	<u>'. </u>	28,000.
	27	Subtract line 26 from line 12:			,	
	1	Excess of revenue over expenses and disbursements	<62,034.	<u> </u>		<u> </u>
	l b	Net investment income (if negative, enter -0-)	1	67,301	. •1	

c Adjusted net income (if negative, enter -0-)

N/A

Cash - non-interest-bearing		n 990-PF (2016) BARBARA AND ALBERT HORTO	DN FOUNDATION Beginning of year	INC 47-	2615702 Page 2 Tyear
2 Samps and temporary cash investments 3 Accounts receivable ▶ Less allowance for doubtful accounts ▶ 1 Pidogas receivable ▶ Less allowance for doubtful accounts ▶ 2 Grants receivable 6 Receivable according of persons 7 Countral receivable 7 Receivable according of persons 8 Personal receivable 9 Propose desponses and deferred charges 9 Propose desponses and deferred charges 10 Investments - corporate stock 11 Investments - corporate stock 12 Investments - corporate stock 13 Investments - corporate stock 14 Land, budfight, and equipment bases 15 Colles assets (Georgia №) 16 Total assets to the completed by all fiters - see the 17 Investments - mortgage loans 18 Investments - mortgage loans 19 Total countral receivable 10 Investments - mortgage loans 10 Investments - mortgage loans 11 Investments - mortgage loans 13 Investments - mortgage loans 14 Land, budfight, and equipment bases ▶ 10 Investments - mortgage loans 15 Total assets (Georgia №) 10 Investments - mortgage loans 16 Total assets (to be completed by all fiters - see the 17 Investments - mortgage loans 18 Total lasters (Georgia №) 19 Deferred revenue 10 Loans transferred revenue 10 Loans transferred revenue 10 Loans transferred revenue 10 Loans transferred revenue 11 Land, budfight and corporate stock 12 Mortgages and other notes payable 13 Total lastifies (Georgia №) 14 Red 3, 072 1, 781, 038 . 15 Total lastifies (Georgia №) 15 Total seats (Invest Transferred Colleges of the Co	P8	Column should be for end-of-year amounts only	(a) Book Value	(b) Book Value	(c) Fair Market Value
3 Accounts receivable		· · · · · · · · · · · · · · · · · · ·			
Less: allowance for doubtful accounts ▶ Less: allowance for doubtful accounts ▶ Corner receivable Becamble use from officers, directors, trustees, and other degualified persons 7 Own rose the distribution of the structure			44,567.	63,431.	63,431.
4 Piedges receivable Less: allowance for doubtful accounts 5 Gratts receivable 6 Receivable 7 One reciss of busine receivable 9 Prepaid exposes and deferred charges 10a Investments - U.S. and state government obligations 1 Investments - corporate stock 1 Investments - corporate box 1 Investments - ontrigage loans 1 Investments - ontrigage loa	Ì				لــ ـ ـ ـ
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- AAA ME	<u>6</u>]	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, co	lumn (b), line 30	. 6	1,781,038. Form 990-PF (2016)

	BARA AND ALBERT and Losses for Tax on In			IOI	N INC	4	7-261	5702	Page 3
(a) List and descr 2-story brick wai	ibe the kind(s) of property sold (e.g. rehouse; or common stock, 200 shs	., real estate, s. MLC Co.)		(b) F	low acquired - Purchase - Donation	(c) Date (mo., d	acquired ay, yr.)	(d) Date so (mo., day,)	
1a PUBLICLY TRADE	O SECURITIES				P				
<u>b</u>			·	ļ					
				┼					
e				 					
(e) Gross sales price	(f) Depreciation allowed (or allowable)		st or other basis expense of sale				ain or (loss) s (f) minus (
a 447,158.			424,08	5.	 			23,0	73.
b									
<u>C</u>									
<u>d</u>		 							
Complete only for assets showing	g gain in column (h) and owned by t	the foundation	on 12/31/69			I) Gaine (C	ol. (h) gain i	niniie	
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Ex	cess of col. (i) col. (j), if any		co	l. (k), but r	not less than (from col. (f	-0-) or	
a				$\neg \uparrow$		·		23,0	73.
b									
<u>c</u>									
<u>d</u>									
<u>e</u>		L		-					
2 Capital gain net income or (net cap	(" (") ") " " " " "	- ın Part I, line		}	2			23,0	73.
3 Net short-term capital gain or (loss if gain, also enter in Part I, line 8, 0 if (loss), enter -0- in Part I, line 8		id (6):		}	3		N/A		
Part V Qualification U	nder Section 4940(e) for	Reduced	Tax on Net	Inv	estment Inc	come			
(For optional use by domestic private	foundations subject to the section 4	1940(a) tax on	net investment in	come	.)				
If section 4940(d)(2) applies, leave th	is nart hlank								
Was the foundation liable for the sect	ion 4942 tax on the distributable am	• -	•	riod?				Yes X] No
If "Yes," the foundation does not quality 1 Enter the appropriate amount in e	ach column for each year; see the in			ntries					
Base period years	(b)	ion denone per	ore making any e	(c)	<u></u>			(d)	
Base period years Calendar year (or tax year beginnin	4 1 1 1 1 1 1 1 1 1 1 1	tributions	Net value of no		itable-use assets	; ,	וסויז (col. (b) col. (b) divi)	(d) ation ratio ded by col. (c)))
2015		0,400.		1	,894,864	l .		.042	430
2014	9	4,371.			779,407	7.		.121	<u>081</u>
2013									 .
<u>2012</u> 2011					 				
2011					- 	- - 			
2 Total of line 1, column (d)						2		.163	511
3 Average distribution ratio for the 5	5-year base period - divide the total c	on line 2 by 5,	or by the number	of yea	ars				
the foundation has been in existen	ice if less than 5 years					3		.081	<u>756</u>
4 Enter the net value of noncharitable	le-use assets for 2016 from Part X, I	line 5				4		2,001,2	70.
5 Multiply line 4 by line 3						5		163,6	16.
6 Enter 1% of net investment incom	e (1% of Part I, line 27b)					6		6	73.
7 Add lines 5 and 6						. 7		164,2	
8 Enter qualifying distributions from	Part XII, line 4	• ••		•	. .	8		28,0	
	line 7, check the box in Part VI, line			g a 1%	6 tax rate.	<u></u>	·		
623521 11-23-16							F,	orm 990-PF	(2016

	990-PF (2016) BARBARA AND ALBERT HORTON FOUNDATION INC 47-2615			Page 4
Pa	rt VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see	nstru	ctior	<u>1S)</u>
1a	Exempt operating foundations described in section 4940(d)(2), check here and enter "N/A" on line 1.			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%		1,3	<u>46.</u>
	of Part I, line 27b			, i
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-)			0.
3	Add lines 1 and 2		1,3	46.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			0.
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		1,3	46.
6	Credits/Payments:			
а	2016 estimated tax payments and 2015 overpayment credited to 2016 6a 6a			
b	Exempt foreign organizations - tax withheld at source 6b			Í
C	Tax paid with application for extension of time to file (Form 8868)			1
đ	Backup withholding erroneously withheld 6d 6d			
7	Total credits and payments. Add lines 6a through 6d			0.
8	Enter any penalty for underpayment of estimated tax. Check here if Form 2220 is attached 8			37.
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed SEE STATEMENT 6 > 9		1,3	83.
	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid			
	Enter the amount of line 10 to be: Credited to 2017 estimated tax			
Pa	rt VII-A Statements Regarding Activities			
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in		Yes	No
	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.			1
	Did the foundation file Form 1120-POL for this year?	1c		<u>X</u>
đ	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year:			, ;
	(1) On the foundation. \blacktriangleright \$ (2) On foundation managers. \blacktriangleright \$	1		
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation			
	managers. ► \$O.			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS?	2		<u>X</u>
	If "Yes," attach a detailed description of the activities.			
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		<u>X</u>
	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a		<u>X</u>
	If "Yes," has it filed a tax return on Form 990-T for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year?	5		X
	If "Yes," attach the statement required by General Instruction T.			
Ь	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either:			ļ
	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	<u>X</u>	
0-	Cates the states to which the foundation reports or with which it is required (see instructions)	1		
оa	Enter the states to which the foundation reports or with which it is registered (see instructions)			i
	FL If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate)			}
0		- ·	X	
0	of each state as required by General Instruction G? If "No," attach explanation	8b		
3	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
<u></u>		rm 99 0)-PF	

	990-PF (2016) BARBARA AND ALBERT HORTON FOUNDATION INC 47-261	<u>5702</u>		Page 5
Pa	rt VII-A Statements Regarding Activities (continued)		150	
			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of	1		
	section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		<u>X</u>
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges?] ']	l
	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	L
	Website address ► N/A			
14	The books are in care of ► CHAIRMAN OF THE BOARD Telephone no. ► 502-9			
	Located at ► 4701 JENNINGS LN, LOUISVILLE, KY ZIP+4 ►4	<u> </u>		
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here	_	▶	·
	and enter the amount of tax-exempt interest received or accrued during the year	<u>N</u>	/ <u>A</u>	
16	At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank,		Yes	No
	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			<u>'</u>
	foreign country	ᆚ—		
Pa	rt VII-B Statements Regarding Activities for Which Form 4720 May Be Required		1	
	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.	<u> </u>	Yes	No
18	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?	1		
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from)	ļ		1 :
	a disqualified person?	1	ł	1 :
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? Yes X No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? Yes X No	j		1 }
	(5) Transfer any income or assets to a disqualified person (or make any of either available	1		
	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"	ì		
	If the foundation agreed to make a grant to or to employ the official for a period after		İ	
	termination of government service, if terminating within 90 days.)	}		
t	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations	1.		
	section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b	<u></u>	
	Organizations relying on a current notice regarding disaster assistance check here			
(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	l	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)):	1		
8	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 X No	1.] • }
	If "Yes," list the years ,,,,,,,,			
t	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			نـ ـ ـا
	statement - see instructions.) N/A	2b		
(If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.			
	•	ł		
38	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time		}] !
	during the year?			
ì	of "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after	-	1	
	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	Ì	1	
	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,		1	1
	Form 4720, to determine if the foundation had excess business holdings in 2016.) N/A	3b		
4:	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that		\Box	
•	had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b		X
•		orm 99	0-PF	

orm 990-PF (2016) BARBARA AND ALBERT HORTO			<u>47-26157(</u>	02 Page 6
Part VII-B Statements Regarding Activities for Which I	Form 4720 May Be F	Required (continu	ued)	
5a During the year did the foundation pay or incur any amount to:	······································			
(1) Carry on propaganda, or otherwise attempt to influence legislation (section	1 4945(e))?	🗀 Ye	s X No	
(2) Influence the outcome of any specific public election (see section 4955); o				
any voter registration drive?		Ye	s X No	'
(3) Provide a grant to an individual for travel, study, or other similar purposes	?	☐ Ye	s X No	
(4) Provide a grant to an organization other than a charitable, etc., organizatio		••		
40.45(d)(A)(A)(A)(a) (non-in-alternation no)		Ye	s X No	
(5) Provide for any purpose other than religious, charitable, scientific, literary,	or educational purposes, or fe			
			8 X No	
b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify und		-		
section 53.4945 or in a current notice regarding disaster assistance (see instru			N/A 5	b
Organizations relying on a current notice regarding disaster assistance check h				
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption fi				
expenditure responsibility for the grant?		/A 🗆 Ye	s 🗔 No	
If "Yes," attach the statement required by Regulations section 53.494		,		
6a Did the foundation, during the year, receive any funds, directly or indirectly, to	• •		ļ	
a manufacture of the most and		□ va	s X No	
b Did the foundation, during the year, pay premiums, directly or indirectly, on a p	ersonal henefit contract?	۰ سے	_	b X
If "Yes" to 6b, file Form 8870.	orgonial bonont bond act?		F	- +
7a At any time during the tax year, was the foundation a party to a prohibited tax s	helter transaction?	□ va	s X No	
b. If "Yes," did the foundation receive any proceeds or have any net income attribu				'b
Part VIII Information About Officers, Directors, Trust				
Paid Employees, and Contractors	ees, i oulidation ivid	ilagers, riigilij	,	
List all officers, directors, trustees, foundation managers and their	compensation.			
	, 	(c) Compensation	(d) Contributions to	(e) Expense
(a) Name and address	(b) Title, and average hours per week devoted to position	(If not paid,	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ALBERT C. HORTON	PRESIDENT & D	enter -0-)	Compensation	anonanoco
4701 JENNINGS LANE	LVESIDENI & D	IRECION		
	2.00	0.	0.	0.
LOUISVILLE, KY 40218	VICE PRESIDEN			<u>.</u>
	ATCE LYESIDEN	I & DIREC	IOR	
4701 JENNINGS LANE	2.00	0.	0.	0
LOUISVILLE, KY 40218			- 0.	<u> </u>
	SECRETARY & D	TRECTOR		
4701 JENNINGS LANE	2 00	F0 000	ا م	^
LOUISVILLE, KY 40218	2.00	50,000.	0.	0.
	TREASURER & D	TRECTOR		
4701 JENNINGS LANE	0.00	F0 000	1 .	^
LOUISVILLE, KY 40218 2 Compensation of five highest-paid employees (other than those inc	2.00	50,000.	0.	0.
2 Compensation of tive mighest-paid employees fother than those inc		enter HONE.	(d) Contributions to	(e) Expense
(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	(e) Expense account, other
	devoted to position		compensation	allowances
NONE	-			
				
	{	!		
			 	
	-		[[
	Į	1	ļ ,	
	ļ			
	1]	
	<u> </u>	<u> </u>	<u> </u>	
Total number of other employees paid over \$50,000				0
			Form	990-PF (2016)

Part VIII Information About Officers, Directors, Trustees, Foundation Paid Employees, and Contractors (continued)	N INC 47-2615 Managers, Highly	702 Page 7
Five highest-paid independent contractors for professional services. If none, enter "NO	NE."	
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
T-4 1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1	<u>-</u>	0
Fotal number of others receiving over \$50,000 for professional services Part IX-A Summary of Direct Charitable Activities		
	formation qual as the	
List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical introduced, research papers produced, conferences convened, research papers produced,	etc.	Expenses
i N/A		
2		
3	·	
·		
Part IX-B Summary of Program-Related Investments		
Describe the two largest program-related investments made by the foundation during the tax year on lines 1	l and 2.	Amount
1 N/A		
All other program-related investments. See instructions.		
3		
Tabel Add lines 1 through 2		0.
Total. Add lines 1 through 3	· · · · · · · · · · · · · · · · · · ·	rm 990-PF (2016)
	FUI	,,,, ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,

P	Art X Minimum Investment Return (All domestic foundations must complete this part. Foreign four	ndations,	see instructions.)
1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	1,984,566.
	Average of monthly cash balances	1b	47,180.
	Fair market value of all other assets	1c	
đ	Total (add lines 1a, b, and c)	1d	2,031,746.
	Reduction claimed for blockage or other factors reported on lines 1a and		
	1c (attach detailed explanation)		
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	2,031,746.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	30,476.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	2,001,270.
6	Minimum investment return. Enter 5% of line 5	6	100,064.
-	art XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and		1007004
	foreign organizations check here 🕨 🔛 and do not complete this part.)		
1	Minimum investment return from Part X, line 6	1	100,064.
2a	Tax on investment income for 2016 from Part VI, line 5		•
þ	Income tax for 2016. (This does not include the tax from Part VI.)		
c	Add lines 2a and 2b	2c	1,346.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	98,718.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	98,718.
6 -	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	98,718.
P	art 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	28,000.
b	Program-related investments - total from Part IX-B	1b	0.
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:		
	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	28,000
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment	 	20,000
J	income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	28,000
J	Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation of	<u> </u>	
	Note: The amount on line 6 will be used in Part V, column (0), in subsequent years when calculating whether the foundation (quaiiiles it	1 1110 20011011

Page 9

	(a) Corpus	(b) Years prior to 2015	(c) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI,				
line 7				98,718.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2016:		<u> </u>		
a From 2011			,	
b From 2012				
c From 2013				
d From 2014 43, 469.				
e From 2015		`		,
4 Total of lines On through a	43,469.			
4 Qualifying distributions for 2016 from	43,403.			
Part XII, line 4: > \$ 28,000.				1
a Applied to 2015, but not more than line 2a		,	0.	
b Applied to undistributed income of prior				
	•	0.		
years (Election required - see instructions)				
c Treated as distributions out of corpus	•			
(Election required - see instructions)	0.			20 000
d Applied to 2016 distributable amount				28,000.
e Remaining amount distributed out of corpus	0.			42.460
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))	43,469.			43,469.
6 Enter the net total of each column as indicated below:	4			· -
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
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 instr.			0.	
f Undistributed income for 2016. Subtract				
lines 4d and 5 from line 1. This amount must				
be distributed in 2017				27,249.
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	0.		·	٠.
9 Excess distributions carryover to 2017.				
Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2012				
b Excess from 2013	}		}	
c Excess from 2014		•		
d Excess from 2015				
e Excess from 2016			<u></u>	L

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Form 990-PF (2016) BARBARA Part XIV Private Operating Fo		HORTON FOU		C · 47-26	515702 Page 10
1 a If the foundation has received a ruling or			74, 440041011 07	M/ A	
foundation, and the ruling is effective for					
b Check box to indicate whether the found				4942(j)(3) or 4	942())(5)
2 a Enter the lesser of the adjusted net	Tax year		Prior 3 years		
income from Part I or the minimum	(a) 2016	(b) 2015	(c) 2014	(d) 2013	(e) Total
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		Ť	/		
alternative test relied upon:					
a "Assets" alternative test - enter: (1) Value of all assets					
• • •			1		
(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				1	
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 Info	rmation (Comple	te this part only	if the foundation	n had \$5,000 or m	ore in assets
at any time during t	he vear-see inst	ructions.)	ii dio iodiladio.		.510 460016
1 Information Regarding Foundatio					
a List any managers of the foundation who	•	than 2% of the total con	tributions received by th	e foundation before the cl	ose of any tay
year (but only if they have contributed in			ilibations received by th	o logitation boloto the or	oso or any tax
SEE STATEMENT 9	.,,,				
b List any managers of the foundation who			(or an equally large port	tion of the ownership of a	partnership or
other entity) of which the foundation has	s a 10% or greater intere	:SL			
NONE		Oakale utili 1 -			
2 Information Regarding Contributi Check here ► if the foundation o				not accept unsolicited req	uests for funds. If
the foundation makes gifts, grants, etc.					
a The name, address, and telephone num	ber or e-mail address of	the person to whom app	lications should be addr	essed: SEE STA	ATEMENT 11
CDD CMAMBWENE 10					
SEE STATEMENT 10 b The form in which applications should b	o outhmitted and information	tion and materials their	hould include:		
t ne form in which applications should b	e submitted and informa	ation and materials they s	noula include:		
c Any submission deadlines:					
d Any restrictions or limitations on awards	s, such as by geographic	al areas, charitable fields	, kınds of institutions, or	other factors:	
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3 Grants and Contributions Paid During the		rayment		
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	or substantial contributor	recibient		
CHILDCARE RESOURCES		PC	PROVIDE CHILDCARE	
500 N. HIGGINS AVE SUITE 202		ł	SCHOLARSHIPS FOR	
MISSOULA, MT 59803			FAMILIES IN NEED	25,000
DD WOLGOW WINGUIS			DROVIDE NOVELCAMENT	
FRANCISCAN KITCHEN		PC	PROVIDE NOURISHMENT	
748 SOUTH PRESTON STREET			FOR HOMELESS AND	
LOUISVILLE, KY 40203-2360			HUNGRY PEOPLE IN THE COMMUNITY	500
UNITED WAY		PC	IMPROVE LIVES AND OUR	
334 E BROADWAY			COMMUNITY BY ENGAGING	
LOUISVILLE, KY 40202			PEOPLE TO GIVE,	
			ADVOCATE AND VOLUNTEER	1,000
THITUPPOINT OF UTPOINTS COUOSI OF		PC	SUPPORT EDUCATION FOR	
UNIVERSITY OF VIRGINIA SCHOOL OF NURSING		FC	NURSING STUDENTS	
P.O. BOX 400331			Honorad Brobbins	
CHARLOTTESVILLE VA 22904-4331				500
Total			▶ 3a	27 000
b Approved for future payment				27,000
NONE				
Total	<u> </u>		▶ 3b	0

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er gross amounts unless otherwise indicated.	Unrelated b	usiness income	Excluded b	y section 512, 513, or 514	(e)
	(a) Business	(b)	(c) Exclu-	(d)	Related or exempt
Program service revenue:	code	Amount	code	Amount	function income
A				.,, .	
b					
C					
d					
e					
Fees and contracts from government agencies					
					
Membership dues and assessments					
Interest on savings and temporary cash investments		·			
Dividends and interest from securities			14	61,915.	
Net rental income or (loss) from real estate:					
a Debt-financed property		······································			
Not debt-financed property .					
Net rental income or (loss) from personal					
property					
Other investment income					
Gain or (loss) from sales of assets other				02 072	
than inventory			14	23,073.	
Net income or (loss) from special events					<u>. </u>
Gross profit or (loss) from sales of inventory Other revenue:	-				
<u> </u>	 				
C					
d					
Subtotal. Add columns (b), (d), and (e)		_(0.	84,988.	
Total. Add line 12, columns (b), (d), and (e)				13	84,98
e worksheet in line 13 instructions to verify calculations.)					·
art XVI-B Relationship of Activities t	o the Accom	plishment of	Exempt P	urposes	
ne No. Explain below how each activity for which income				l importantly to the accomp	olishment of
the foundation's exempt purposes (other than	by providing runds	tor such purposes)	·		
•					

▼	the foundation's exempt purposes (other than by providing funds for such purposes).	
		···
	· · · · · · · · · · · · · · · · · · ·	
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Form **990-PF** (2016)

Form 990					ORTON FOUND				Page 13
Part >	<u>(VII</u>	Information Re Exempt Organ		sfers To a	and Transactions	and Relati	onships With Noncha	ritable	
1 Did	the or		· · · · · · · · · · · · · · · · · · ·	of the followin	g with any other organiza	tion described in	n section 501(c) of	1	Yes No
					7, relating to political org		1 3668011 30 1(0) 01	1 h	
		from the reporting founda				,a			
	Cash							1a(1)	X
		assets						1a(2)	X
		sactions:					., . ,		
(1)	Sales	of assets to a noncharital	ble exempt organiza	ition				1b(1)	X
		ases of assets from a no					•	1b(2)	X
		l of facilities, equipment,				• • •	••	1b(3)	Х
		oursement arrangements				• •	•	1b(4)	X
		or loan guarantees						1b(5)	X
(6)	Perfo	rmance of services or me			ns			1b(6)	X
		facılities, equipment, ma						1c	X
							fair market value of the goods,	other asse	ets,
							action or sharing arrangement,		·
) the value of the goods,							
(a) Line no	,	(b) Amount involved	(c) Name o	f noncharitable	exempt organization	(d) Des	cription of transfers, transactions, and	sharing arra	ingements
				N/A					
	1				· · · · · · · · · · · · · · · · · · ·				
	_								
	7	, , ,							
	_								
	+-								
	+	· · · · · · · · · · · · · · · · · · ·							
	+-								
	-			************					
	+			·					
	+								
					or more tax-exempt orga	ınizations descri	_	———	
		501(c) of the Code (other	- ·)(3)) or in sect	ion 52/?	•		Yes	X No
b It Y	es, co	mplete the following sch			(h) Time of association		(a) Decembles of relation	hin.	
		(a) Name of org	anization		(b) Type of organization	<u>" </u>	(c) Description of relations	inip	
		N/A							
						_			
						-	······································		
						_ 			
			· · · · · · · · · · · · · · · · · · ·	<u>//</u>	L	_L			
					g accompanying schedules a n taxpaver) is based on all info			y the IRS do	
Sign	N .	ief, it is true, correct, and complete Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge					urn with the own below (s	preparer see instr)?	
Here		Jun <	<u> </u>	7	88 811	✓ PRE	SIDENT	X Yes	U No I
	Sign	ature of officer or trustee			Date	Title			
	• 1	Print/Type preparer's na	ıme	Preparer's s	gnature	Date	Check if PTIN		
		DONALD E. GROOT,				الرجاء	self- employed		
Paid		CPA DONALD E. GROOT,						13953	
Prepa		Firm's name ► WELENKEN CPAS					Firm's EIN ► 61-048		
Use C	only								
	j	Firm's address ► 73	0 WEST MA	RKET S	TREET				
			UISVILLE,				Phone no. (502)	585-	-3251
									-PF (2016)
									,

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FORM 990-PF DIVIDENT	S AND INTER	EST FROM SECUR	ITIES ST	CATEMENT	1
GROSS SOURCE AMOUNT	CAPITAL GAINS DIVIDEND	REVENUE	(B) NET INVEST- MENT INCOME	(C) ADJUSTEI NET INCOI	
WELLS FARGO 61,915	5.	0. 61,915.	61,915.		_
TO PART I, LINE 4 61,915	5.	61,915.	61,915.		_
FORM 990-PF	ACCOUNTI	NG FEES	SI	TATEMENT	2
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABI PURPOSES	
ACCOUNTING	5,500.	4,500.		1,000	0.
TO FORM 990-PF, PG 1, LN 16B	5,500.	4,500.		1,000	0.
FORM 990-PF (THER PROFES	SIONAL FEES	Si	PATEMENT	3
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITAB PURPOSE	
INVESTMENT ADMINISTRATION	10,346.	10,346.			0.
TO FORM 990-PF, PG 1, LN 16C	10,346.	10,346.			0.
FORM 990-PF	TAX	ES	Si	PATEMENT	<u> </u>
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITAB PURPOSE	
FOREIGN TAXES TAXES	2,841. 1,335.	2,841.			0.

FORM 990-PF	CORI	PORATE STOCK			STAT	EMENT	_5
DESCRIPTION			BOOK V	ALUE		MARKET	,
INVESTMENTS CORPORATE	STOCK - WELLS STOCK - WELLS			0,214. 7,393.	1	,098,02 958,03	
TOTAL TO FORM 990-PF,	PART II, LINE	10B	1,71	7,607.	2	,056,05	2.
FORM 990-PF	INTEREST A	AND PENALTIES	<u> </u>		STAT	EMENT	6
TAX DUE FROM FORM 99 UNDERPAYMENT PENAL LATE PAYMENT INTER LATE PAYMENT PENAL	TY EST					:	16. 37. 33.
TOTAL AMOUNT DUE				. <u></u>		1,4	6.
TOTAL AMOUNT DUE	LATE 1	PAYMENT PENAI	TY.		STAT	1,45	
TOTAL AMOUNT DUE	LATE I	PAYMENT PENAI AMOUNT	TY BALANC	E M	STAT		7
			BALANC 1,	E MO 346. 346.		'EMENT PENAL'	7
TOTAL AMOUNT DUE FORM 990-PF DESCRIPTION TAX DUE DATE FILED	DATE 02/15/18 08/15/18	AMOUNT	BALANC 1,	346.	ONTHS	PENAL	7 !Y
TOTAL AMOUNT DUE FORM 990-PF DESCRIPTION TAX DUE DATE FILED TOTAL LATE PAYMENT PE	DATE 02/15/18 08/15/18 NALTY	AMOUNT	BALANC 1, 1,	346.	ONTHS 6	PENAL	7 TY
TOTAL AMOUNT DUE FORM 990-PF DESCRIPTION TAX DUE DATE FILED TOTAL LATE PAYMENT PE FORM 990-PF	DATE 02/15/18 08/15/18 NALTY LATE	AMOUNT 1,346	BALANC 1, 1,	346.	ONTHS 6	PENAL'	7 TY 10.
TOTAL AMOUNT DUE FORM 990-PF DESCRIPTION TAX DUE	DATE 02/15/18 08/15/18 NALTY LATE	AMOUNT 1,346	BALANC 1, 1,	346. 346.	ONTHS 6 STAT	PENAL'	7 TY 10.

FORM 990-PF

PART XV - LINE 1A LIST OF FOUNDATION MANAGERS STATEMENT

NAME OF MANAGER

ALBERT C. HORTON BARBARA B. HORTON

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FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION PART XV, LINES 2A THROUGH 2D

STATEMENT

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

BARBARA AND ALBERT HORTON FOUNDATION, INC. 4701 JENNINGS LN LOUISVILLE, KY 40218

TELEPHONE NUMBER

502-969-1371

FORM AND CONTENT OF APPLICATIONS

SUBMIT IN WRITING YOUR CONTACT INFORMATION, A BRIEF DESCRIPTION OF FINANCIAL NEED, THE AMOUNT BEING REQUESTED, AND WHERE THE FUNDS ARE TO BE USED.

THE FOUNDATION WILL REQUEST PRIOR TO APPROVAL THE FOLLOWING ITEMS

- A) PROOF OF ANNUAL INCOME AND SOURCE(S) OF INCOME
- B) NUMBER OF HOURS WORKED
- C) EVIDENCE OF PUBLIC, PRIVATE, OR FAMILY FINANCIAL SUPPORT OR PAYMENTS
- D) POTENTIAL SOURCES OF PUBLIC OR PRIVATE SPONSORED PROGRAMS, FUNDING, OR SCHOLARSHIPS WHICH AN INDIVIDUAL COULD POTENTIALLY REQUEST FUNDS FROM
- E) COPIES OF PREVIOUS APPLICATION(S) FOR FUNDING AND/OR ASSISTANCE

ANY SUBMISSION DEADLINES

NONE

RESTRICTIONS AND LIMITATIONS ON AWARDS

NONE

FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION PART XV, LINES 2A - 2D (CONTINUATION)

STATEMENT

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FORM AND CONTENT OF APPLICATIONS

- F) FAMILY MEMBER(S) OCCUPATION(S) AND SOURCE(S) OF INCOME
- G) ADDRESS OF RESIDENCE FOR LAST 3 YEARS
- H) ESTIMATE COSTS OF ROOM AND BOARD, TUITION, BOOKS/SUPPLIES, INCIDENTALS, TRAVEL, AND MEDICAL.
- I) TAX RETURNS
- J) REPRESENTATION FROM THE INDIVIDUAL THAT EXPENSES ARE NOT REIMBURSABLE BY ANY OTHER MEANS.