

Form 990-PF

727  
383

## Return of Private Foundation

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

Department of the Treasury  
Internal Revenue Service► Do not enter social security numbers on this form as it may be made public.  
► Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf)

OMB No 1545-0052

2016

Open to Public Inspection

171/

For calendar year 2016 or tax year beginning DEC 1, 2016, and ending NOV 30, 2017

Name of foundation

## THE GLICKENHAUS FOUNDATION

Number and street (or P O box number if mail is not delivered to street address)

8 KENDALL AVENUE

A Employer identification number

13-6160941

B Telephone number

2129537773

C If exemption application is pending, check here ► D 1. Foreign organizations, check here ► 2. Foreign organizations meeting the 85% test, check here and attach computation ► E If private foundation status was terminated under section 507(b)(1)(A), check here ► F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ► G Check all that apply  Initial return  Initial return of a former public charity  
 Final return  Amended return  
 Address change  Name changeH Check type of organization:  Section 501(c)(3) exempt private foundation  
 Section 4947(a)(1) nonexempt charitable trust  Other taxable private foundationI Fair market value of all assets at end of year J Accounting method.  Cash  Accrual  
(from Part II, col. (c), line 16)  Other (specify)    
► \$ 5,700,271. (Part I, column (d) must be on cash basis)

Part I	Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1	Contributions, gifts, grants, etc., received			N/A	
2	Check ► <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
3	Interest on savings and temporary cash investments				
4	Dividends and interest from securities	171,943.	171,943.		STATEMENT 1
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	<845,979. >			
b	Gross sales price for all assets on line 6a	3,157,761.			
7	Capital gain net income (from Part IV, line 2)		0.		
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)				
11	Other income	8,822.	8,822.		STATEMENT 2
12	Total. Add lines 1 through 11	<665,214. >	180,765.		
13	Compensation of officers, directors, trustees, etc	0.	0.	0.	
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees				
b	Accounting fees	STMT 3	5,050.	0.	
c	Other professional fees				
17	Interest				
18	Taxes	STMT 4	11,679.	4,683.	0.
19	Depreciation and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses	STMT 5	2,935.	0.	2,935.
24	Total operating and administrative expenses. Add lines 13 through 23		19,664.	4,683.	7,985.
25	Contributions, gifts, grants paid		245,692.		245,692.
26	Total expenses and disbursements. Add lines 24 and 25		265,356.	4,683.	253,677.
27	Subtract line 26 from line 12:				
a	Excess of revenue over expenses and disbursements		<930,570. >		
b	Net investment income (if negative, enter -0-)		176,082.		
c	Adjusted net income (if negative, enter -0-)			N/A	

Gr. 21

5

29491293053048

Part II	Balance Sheets	Attached schedules and amounts in the description column should be for end-of-year amounts only		
		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
	1 Cash - non-interest-bearing	13,668.	4,445.	4,445.
	2 Savings and temporary cash investments	130,338.	241,816.	241,816.
	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			
	7 Other notes and loans receivable ►			
	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			
	b Investments - corporate stock	STMT 6	1,811,665.	1,257,746.
	c Investments - corporate bonds			5,454,010.
	11 Investments - land, buildings, and equipment basis ►			
	Less accumulated depreciation ►			
	12 Investments - mortgage loans			
	13 Investments - other			
	14 Land, buildings, and equipment: basis ►	12,222.		
	Less accumulated depreciation	STMT 7 ►	12,222.	
	15 Other assets (describe ►)			
	16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		1,955,671.	1,504,007.
				5,700,271.
	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			
	22 Other liabilities (describe ►)			
	23 Total liabilities (add lines 17 through 22)		0.	0.
	Foundations that follow SFAS 117, check here ► <input type="checkbox"/>			
	and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ► <input checked="" type="checkbox"/>			
	and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds		0.	0.
	28 Paid-in or capital surplus, or land, bldg., and equipment fund		0.	0.
	29 Retained earnings, accumulated income, endowment, or other funds		0.	0.
	30 Total net assets or fund balances		1,955,671.	1,504,007.
	31 Total liabilities and net assets/fund balances		1,955,671.	1,504,007.

## Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1 1,955,671.
2 Enter amount from Part I, line 27a	2 <930,570.>
3 Other increases not included in line 2 (itemize) ► <u>ADJUSTMENT FOR MLP</u>	3 478,905.
4 Add lines 1, 2, and 3	4 1,504,006.
5 Decreases not included in line 2 (itemize) ►	5 0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6 1,504,006.

<b>Part IV Capital Gains and Losses for Tax on Investment Income</b>		<b>SEE ATTACHED STATEMENT</b>		
(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.)
1a				
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	3,157,761.	4,003,740.	<845,979.>	
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			<845,979.>	
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	<845,979.>
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). If (loss), enter -0- in Part I, line 8	{ }		3	N/A

**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	1,238,341.	5,408,979.	.228942
2014	1,713,792.	7,247,491.	.236467
2013	1,397,927.	10,774,494.	.129744
2012	2,419,993.	10,396,238.	.232776
2011	2,451,024.	11,186,434.	.219107

2 Total of line 1, column (d)

2 1.047036

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 .209407

4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5

4 6,333,474.

5 Multiply line 4 by line 3

5 1,326,274.

6 Enter 1% of net investment income (1% of Part I, line 27b)

6 1,761.

7 Add lines 5 and 6

7 1,328,035.

8 Enter qualifying distributions from Part XII, line 4

8 253,677.

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

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-)

3 Add lines 1 and 2

4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)

5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-

6 Credits/Payments:

a 2016 estimated tax payments and 2015 overpayment credited to 2016

b Exempt foreign organizations - tax withheld at source

c Tax paid with application for extension of time to file (Form 8868)

d Backup withholding erroneously withheld

7 Total credits and payments. Add lines 6a through 6d

8 Enter any penalty for underpayment of estimated tax. Check here  if Form 2220 is attached

9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed

10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid

11 Enter the amount of line 10 to be: Credited to 2017 estimated tax ► **1,447.** | Refunded ► **0.**

1	3,522.
2	0.
3	3,522.
4	0.
5	3,522.
6a	1,969.
6b	
6c	3,000.
6d	
7	4,969.
8	
9	
10	1,447.
11	0.

**Part 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 any political campaign?

1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?  
*If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities*

1c Did the foundation file Form 1120-POL for this year?

1d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year  
(1) On the foundation. ► \$ **0.** (2) On foundation managers. ► \$ **0.**

1e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ► \$ **0.**

2 Has the foundation engaged in any activities that have not previously been reported to the IRS?  
*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*

4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?  
b If "Yes," has it filed a tax return on Form 990-T for this year?

5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?  
*If "Yes," attach the statement required by General Instruction T*

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?

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*

8a Enter the states to which the foundation reports or with which it is registered (see instructions) ► **NY**

8b 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*

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*

10 Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*

	Yes	No
1a	X	
1b	X	
1c	X	
2	X	
3	X	
4a	X	
4b	X	
5	X	
6	X	
7	X	
8b	X	
9	X	
10	X	

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

11	Yes	No
12	Yes	No
13	Yes	No
Website address ► <b>N/A</b>		
14	The books are in care of ► <b>DAVID FISCHER C/O GLICKENHAUS</b> Telephone no. ► <b>212-953-7773</b>	
Located at ► <b>8 KENDALL AVENUE, SLEEPY HOLLOW, NY</b> ZIP+4 ► <b>10591</b>		
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	
► <b>15</b> ► <b>N/A</b>		
16	Yes	No
See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►		

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

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

1a	During the year did the foundation (either directly or indirectly):	
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
1b	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)? <b>N/A</b> ► <b> </b>	
1c	Organizations relying on a current notice regarding disaster assistance check here ► <b> </b>	
2	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?	
2a	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)).	
2a	At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes," list the years ► <b> </b> , <b> </b> , <b> </b> , <b> </b> , <b> </b>		
2b	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.) <b>N/A</b>	
3	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► <b> </b> , <b> </b> , <b> </b> , <b> </b>	
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
3b	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) <b>N/A</b>	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	
4b	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? <b>N/A</b>	
4b	► <b> </b> , <b> </b> , <b> </b> , <b> </b>	

## 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))?
- (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?
- (3) Provide a grant to an individual for travel, study, or other similar purposes?
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions)
- (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 Yes  No Yes  No Yes  No Yes  No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

 Yes  No

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

 Yes  No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

## Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation.

(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
NANCY GLICKENHAUS 110 RIVERSIDE DRIVE NEW YORK, NY 10024	PRESIDENT 0.00	0.	0.	0.
JAMES GLICKENHAUS MARBLE HALL RYE, NY 10580	SEC. / TREASURER 0.00	0.	0.	0.

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				

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

►

0

**Part VIII****Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors** (continued)

3 Five highest-paid independent contractors for professional services. If none, enter "NONE."

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

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

0

**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	N/A	
2		
3		
4		

**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 and 2.

Amount

1	N/A	
2		

All other program-related investments. See instructions.

3		

Total. Add lines 1 through 3 ►

0.

Form 990-PF (2016)

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

1 Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:

- a Average monthly fair market value of securities
- b Average of monthly cash balances
- c Fair market value of all other assets
- d Total (add lines 1a, b, and c)
- e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)

1a	6,217,363.
1b	212,560.
1c	
1d	6,429,923.
1e	0.
2	0.
3	6,429,923.
4	96,449.
5	6,333,474.
6	316,674.

2 Acquisition indebtedness applicable to line 1 assets

3 Subtract line 2 from line 1d

4 Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)

5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4

6 Minimum investment return. Enter 5% of line 5

1	316,674.
2a	3,522.
2b	22,868.
2c	26,390.
3	290,284.
4	0.
5	290,284.
6	0.
7	290,284.

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

1	316,674.
2a	3,522.
2b	22,868.
2c	26,390.
3	290,284.
4	0.
5	290,284.
6	0.
7	290,284.

**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
  - b Program-related investments - total from Part IX-B
- 2 Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes
- 3 Amounts set aside for specific charitable projects that satisfy the:
  - a Suitability test (prior IRS approval required)
  - b Cash distribution test (attach the required schedule)
- 4 Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4
- 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
- 6 Adjusted qualifying distributions. Subtract line 5 from line 4

1a	253,677.
1b	0.
2	
3a	
3b	
4	253,677.
5	0.
6	253,677.

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				290,284.
2 Undistributed income, if any, as of the end of 2015			0.	
a Enter amount for 2015 only				
b Total for prior years		0.		
3 Excess distributions carryover, if any, to 2016				
a From 2011	2,010,670.			
b From 2012	2,083,971.			
c From 2013	880,871.			
d From 2014	1,365,452.			
e From 2015	987,125.			
f Total of lines 3a through e	7,328,089.			
4 Qualifying distributions for 2016 from Part XII, line 4 ► \$	253,677.		0.	
a Applied to 2015, but not more than line 2a				
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2016 distributable amount				253,677.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))	36,607.			36,607.
6 Enter the net total of each column as indicated below:	7,291,482.		0.	
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
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		0.		0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	1,974,063.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	5,317,419.			
10 Analysis of line 9				
a Excess from 2012	2,083,971.			
b Excess from 2013	880,871.			
c Excess from 2014	1,365,452.			
d Excess from 2015	987,125.			
e Excess from 2016				



**Part XV** Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	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
Name and address (home or business)				
<i>a Paid during the year</i>				
SEE ATTACHED STATEMENT A	NONE		SEE STATEMENT B	245,692.
<b>Total</b>			► 3a	245,692.
<i>b Approved for future payment</i>				
NONE				
<b>Total</b>			► 3b	0.

## 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
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	171,943.	
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			01	8,822.	
8 Gain or (loss) from sales of assets other than inventory			18	<845,979.>	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)			0.	<665,214.>	0.
13 Total. Add line 12, columns (b), (d), and (e)					
(See worksheet in line 13 instructions to verify calculations.)			13	<665,214.>	

## **Relationship of Activities to the Accomplishment of Exempt Purposes**

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

1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

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

- (1) Cash
- (2) Other assets

- b** Other transactions
  - (1) Sales of assets to a noncharitable exempt organization
  - (2) Purchases of assets from a noncharitable exempt organization
  - (3) Rental of facilities, equipment, or other assets
  - (4) Reimbursement arrangements
  - (5) Loans or loan guarantees
  - (6) Performance of services or membership or fundraising solicitations
- c** Sharing of facilities, equipment, mailing lists, other assets, or paid employees
- d** If the answer to any of the above is "Yes," complete the following schedule. C

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

**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.

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

Signature of officer or trustee		Date	Title	
<b>Paid Preparer Use Only</b>	Print/Type preparer's name	Preparer's signature	Date	Check <input type="checkbox"/> if self-employed
	RANDI A. SCHUSTER		10/8/11	PTIN
	Firm's name ► BAKER TILLY VIRCHOW KRAUSE, LLP			Firm's EIN ► 39-0859910
	Firm's address ► ONE PENN PLAZA, SUITE 3000 NEW YORK, NY 10119			Phone no. 212.697.6900

## THE GLICKENHAUS FOUNDATION

CONTINUATION FOR 990-PF, PART IV  
13-6160941 PAGE 1 OF 1

## 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.)
1a GOLDMAN SACHS - SEE ATTACHED			P		
b GOLDMAN SACHS - SEE ATTACHED			P		
c PTP SALE ADJUSTMENT			P		
d K-1 ENBRIDGE ENERGY PARTNERS LP			P		
e HSBC CLASS ACTION			P		
f K-1 REGENCY ENERGY PARTNERS LP			P		
g					
h					
i					
j					
k					
l					
m					
n					
o					
(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 1,595,455.		1,584,621.	10,834.		
b 1,557,862.		2,722,351.	<1,164,489.>		
c		<303,298.>	303,298.		
d		66.	<66.>		
e 4,295.			4,295.		
f 149.			149.		
g					
h					
i					
k					
l					
m					
n					
o					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")		
(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	10,834. <1,164,489.> 303,298. <66.> 4,295. 149.		
a					
b					
c					
d					
e					
f					
g					
h					
i					
k					
l					
m					
n					
o					
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	<845,979.>	
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). If (loss), enter "-0-" in Part I, line 8	}		3	N/A	

## THE GLICKENHAUS FOUNDATION

13-6160941

FORM 990-PF

DIVIDENDS AND INTEREST FROM SECURITIES

STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
DIVIDENDS	167,818.	0.	167,818.	167,818.	
INTEREST INCOME	4,125.	0.	4,125.	4,125.	
TO PART I, LINE 4	171,943.	0.	171,943.	171,943.	

FORM 990-PF

OTHER INCOME

STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
ORDINARY INCOME REPORTED ON 990T SECTION 1231 GAIN/(LOSS)	0.	<33,375. >	
ORDINARY INCOME	8,822.	8,822.	
TOTAL TO FORM 990-PF, PART I, LINE 11	8,822.	8,822.	

FORM 990-PF

ACCOUNTING FEES

STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	5,050.	0.		5,050.
TO FORM 990-PF, PG 1, LN 16B	5,050.	0.		5,050.

FORM 990-PF

TAXES

STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL EXCISE TAX	4,196.	0.		0.
FOREIGN TAX PAID	4,683.	4,683.		0.
NEW YORK STATE TAX	2,800.	0.		0.
TO FORM 990-PF, PG 1, LN 18	11,679.	4,683.		0.

STATEMENT(S) 1, 2, 3, 4

## THE GLICKENHAUS FOUNDATION

13-6160941

FORM 990-PF OTHER EXPENSES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FILING FEES	2,406.	0.		2,406.
BANK CHARGES	24.	0.		24.
CSC FEES	441.	0.		441.
DE- ANNUAL REPORT FEE	64.	0.		64.
TO FORM 990-PF, PG 1, LN 23	2,935.	0.		2,935.

FORM 990-PF CORPORATE STOCK STATEMENT 6

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
14,400- BANK OF AMERICA	0.	0.
14,500- NUSTAR GP HOLDINGS	17,886.	210,975.
2,475 - ENERGY TRANSFER PARTNERS LP	0.	0.
271 - CALIFORNIA RESOURCES	0.	0.
28,660- ENERPLUS RESOURCES FUND	0.	0.
3,000- THE TRAVELERS CO., INC.	0.	0.
35,180- PLAINS ALL AMERICAN	<69,473.>	686,010.
385,000- FORTESQUE METAL GROUP LTD	174,170.	1,401,833.
5,500- OCCIDENTAL PETE CORP	0.	0.
530,014- SIRIUS MINERALS	215,130.	178,481.
54,800- ENTERPRISE PROD PARTNERS	<589,982.>	1,349,724.
6,276- SEASPAN	0.	0.
9,200- ENBRIDGE ENERGY PARTNERS	0.	0.
GOLDMAN SACHS (SECURIITES)	1,510,015.	1,626,987.
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,257,746.	5,454,010.

FORM 990-PF DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT STATEMENT 7

DESCRIPTION	COST OR OTHER BASIS	ACCUMULATED DEPRECIATION	BOOK VALUE
COMPUTER SOFTWARE	12,222.	12,222.	0.
TOTAL TO FM 990-PF, PART II, LN 14	12,222.	12,222.	0.

STATEMENT(S) 5, 6, 7



THE GLICKENHAUS FOUNDATION

13-6160941

FORM 990-T                    INCOME (LOSS) FROM PARTNERSHIPS  
                                  AND S CORPORATIONS                    STATEMENT 8

DESCRIPTION	AMOUNT
SEE ATTACHED SCHEDULE	102,584.
TOTAL TO FORM 990-T, PAGE 1, LINE 5	102,584.

FORM 990-T                    INTEREST AND PENALTIES                    STATEMENT 9

TAX FROM FORM 990-T, PART IV	17,830.
UNDERPAYMENT PENALTY	375.
LATE PAYMENT INTEREST	453.
LATE PAYMENT PENALTY	535.
TOTAL AMOUNT DUE	19,193.

FORM 990-T                    LATE PAYMENT INTEREST                    STATEMENT 10

DESCRIPTION	DATE	AMOUNT	BALANCE	RATE	DAYS	INTEREST
TAX DUE	04/15/18	17,830.	17,830.	.0500	183	453.
DATE FILED	10/15/18		18,283.			
TOTAL LATE PAYMENT INTEREST						453.

FORM 990-T                    LATE PAYMENT PENALTY                    STATEMENT 11

DESCRIPTION	DATE	AMOUNT	BALANCE	MONTHS	PENALTY
TAX DUE	04/15/18	17,830.	17,830.	6	535.
DATE FILED	10/15/18		17,830.		
TOTAL LATE PAYMENT PENALTY					535.

STATEMENT(S) 8, 9, 10, 11

THE GLICKENHAUS FOUNDATION

13-6160941

FORM 990-T - LINE 5 - INCOME (LOSS) FROM PARTNERSHIPS

UNRELATED BUSINESS TAXABLE INCOME - PASSIVE ACTIVITIES

ENBRIDGE ENERGY PARTNERS L.P.  
E.I.N. - 39-1715850

CY Passive Income	\$ 2,738
CY Ordinary gain	\$ 117,423
PY Passive Loss Applied	\$ (70,523)

ENTERPRISE PRODUCTS PARTNERS L.P. \$ 22,511  
E.I.N. - 76-0568219

PLAINS ALL AMERICAN PIPELINE, L.P. \$ (6,980)  
E.I.N. - 76-0582150

NUSTAR GP HOLDINGS, LLC \$ 10,864  
E.I.N. - 85-0470977

ENERGY TRANSFER PARTNERS LP  
E.I.N. - 73-1493906

CY Passive Income	\$ (11)
CY Ordinary gain	\$ 116,290
PY Passive Loss Applied	\$ (96,708)
	<hr/> \$ 95,604

PASSIVE ACTIVITY LOSSES DISALLOWED \$ (6,980)

NET UNRELATED BUSINESS TAXABLE INCOME \$ 102,584

2016 DEPRECIATION AND AMORTIZATION REPORT

FORM 990-PP PAGE 1

990-PF PAGE 1										
Asset No	Description	Date Acquired	Method	Life	Line No	Unadjusted Cost Or Basis	Bus % Exch	Section 179 Expense	* Reduction In Basis	Current Year Deduction
										Sec 179 Expense
1	COMPUTER SOFTWARE	02/10/11	SL	3.00	16	12,222.			12,222.	0.
	* TOTAL 990-PF PG 1 DEPR					12,222.			12,222.	

628111 04-01-18

(D) - Asset disposed

\* ITIC Salvage Bonus. Commercial Revitalization Deduction. GO Zone

**The Glickenhaus Foundation**  
**Charitable Donations**  
**12/01/16 through 11/30/17**

CHECK #	NAMES	DATE	AMOUNT
2299	CONCOURS D'ELEGANCE OF AMERICA	12/5/2016	1,000.00
2300	THE RYE ARTS CENTER	12/5/2016	500.00
2301	TIBETAN BUDDHIST CHARITABLE AID INC	12/5/2016	1,000.00
2302	HENRY STREET SETTLEMENT	12/5/2016	4,000.00
2303	SIERRA CLUB	12/20/2016	1,000.00
2304	DOROT	12/20/2016	500.00
2305	WORLD WILDLIFE FUND	12/20/2016	1,000.00
2307	WILD BIRD FUND	1/9/2017	500.00
2308	FOUNTAIN HOUSE	1/10/2017	1,000.00
2309	LINDA'S FIRST CAT ASSISTANCE	1/10/2017	500.00
2310	EQUAL JUSTICE INITIATIVE	1/10/2017	1,000.00
2311	NEW YORK STEM CELL FOUNDATION	1/12/2017	5,000.00
2312	GOOD COUNSEL	1/18/2017	500.00
2313	NEW ALTERNATIVES FOR CHILDREN	1/18/2017	500.00
2314	WEBER COMMUNITY GARDEN	1/18/2017	100.00
2315	INTERNATIONAL RESCUE COMMITTEE	1/19/2017	1,000.00
2316	LIGHTHOUSE GUILD	1/19/2017	1,000.00
2317	CITIES AT PEACE / POSSIBILITY PROJECT	1/19/2017	5,000.00
2318	CARVER CENTER	1/23/2017	500.00
2319	COALITION FOR THE HOMELESS	1/27/2017	1,000.00
2320	MOMA	1/27/2017	1,000.00
2321	CHILDRENS MUSEUM OF MANHATTAN	1/27/2017	1,000.00
2322	MUSEUM OF ARTS & DESIGN	1/30/2017	3,000.00
2323	ACHIEVEMENT FIRST	1/30/2017	5,000.00
2324	AMERICAN CIVIL LIBERTIES UNION FOUNDATION	1/31/2017	1,000.00
2325	NARAL PRO-CHOICE AMERICA	1/31/2017	1,000.00
2326	NATIONAL IMMIGRATION LAW CENTER	1/31/2017	1,000.00
2327	INTERNATIONAL REFUGEE ASSISTANCE PROJECT	1/31/2017	1,000.00
2328	CITY HARVEST	2/13/2017	1,000.00
2329	CITYMEALS ON WHEELS	2/13/2017	1,000.00
2330	LAWYERS FOR CHILDREN	2/13/2017	1,000.00
2332	FORDHAM LAW SCHOOL	2/22/2017	1,000.00
2333	NEW ROCHELLE HADASSAH	2/22/2017	1,000.00
2335	METROPOLITAN OPERA	2/27/2017	8,500.00
2336	RYE YMCA	3/20/2017	1,000.00
2337	PEBBLE BEACH CO FOUNDATION	3/30/2017	2,500.00
2338	CENTER FOR BIOLOGICAL DIVERSITY	4/5/2017	1,500.00
2339	TRUSTEES FOR ALASKA	4/10/2017	1,500.00
2340	WILD EARTH GUARDIANS	4/10/2017	1,500.00
2342	BROADWAY CARES / EQUITY FIGHTS AIDS	5/3/2017	1,242.00
2343	HEARTSONG	5/4/2017	250.00
2344	DEFENDERS OF WILDLIFE	5/10/2017	1,000.00
2345	TRUSTEES FOR ALASKA	5/10/2017	1,000.00
2347	MUSEUM OF LANGUAGE ARTS	6/5/2017	5,000.00
2348	WOKR	6/5/2017	500.00
2349	WISE SERVICES	6/6/2017	1,000.00
2350	OXFARM AMERICA	6/14/2017	1,000.00
2351	FRESH AIR FUND	6/14/2017	1,000.00
2352	SAFE HORIZONS	6/14/2017	1,000.00
2353	ORT AMERICA	6/14/2017	1,000.00
2354	COVENANT HOUSE	6/14/2017	1,200.00
2355	CAST FOR KIDS FOUNDATION	6/26/2017	1,000.00
2356	ANTI DEFAMATION LEAGUE	6/26/2017	1,000.00
2357	HARVARD TH CHAN SCHOOL OF PUBLIC HEALTH	7/11/2017	50,000.00
2358	HENRY STREET SETTLEMENT	7/11/2017	4,000.00
2360	SOUTHERN POVERTY LAW CENTER	7/24/2017	10,000.00
2361	COLLEGE OF NEW ROCHELLE	7/24/2017	1,000.00
2362	PLANNED PARENTHOOD HUDSON PECONIC	7/27/2017	15,000.00
2363	AVON 39 THE WALK TO END BREAST CANCER	7/31/2017	100.00
2364	NATIONALITIES SERVICE CENTER	8/2/2017	1,000.00
2365	HUMAN DEVELOPMENT SERVICES OF WESTCHESTER	8/2/2017	1,000.00
2367	THE NY STEM CELL FOUNDATION	8/9/2017	25,000.00
2368	PLANNED PARENTHOOD HUDSON PECONIC	8/31/2017	30,000.00
2369	THE FLEA THEATER	9/6/2017	1,000.00
2370	HOUSTON SPCA	9/6/2017	1,000.00
2371	HURRICANE HARVEY RELIEF FUND	9/6/2017	1,000.00
2372	ADOPT A HORSE	9/6/2017	1,000.00
2373	NYC BALLET	9/11/2017	2,500.00
2374	ALZHEIMERS ASSOCIATION	9/20/2017	1,000.00
2375	SPRYE	9/26/2017	1,000.00
2376	LIGHT HOUSE GUILD	9/27/2017	2,000.00
2377	COUNCIL FOR ARTS	9/27/2017	300.00
2378	THE MINDS FOUNDATION	9/27/2017	5,000.00
2379	NEW ALTERNATIVES FOR CHILDREN	10/30/2017	500.00
2380	SON OF A SAINT	11/21/2017	1,000.00
2381	BLACKHAWK FLIGHT FOUNDATION INC	11/21/2017	10,000.00
2382	FORDHAM LAW SCHOOL	11/28/2017	1,000.00
2383	TIBETAN BUDDHIST CHARITABLE AID INC	11/29/2017	1,000.00
			245,692.00