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 instructions is at *www.irs.gov/form990pf*.

OMB No 1545-0052

**2016**

**Open to Public Inspection**

**For calendar year 2016, or tax year beginning 12-01-2016 , and ending 11-30-2017**

Name of foundation
The Garfield Foundation
c/o Baldwin brothers

**A Employer identification number**
22-2285358

Number and street (or P O box number if mail is not delivered to street address) Room/suite
204 Spring street

**B** Telephone number (see instructions)
(508) 748-0800

City or town, state or province, country, and ZIP or foreign postal code
Marion, MA 02738

**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 ☑ 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)*▶$ 36,034,979

**J** Accounting method ☐ 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 | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|---|
| Revenue | 1 | Contributions, gifts, grants, etc , received (attach schedule) | 9,359 | | | |
| | 2 | Check ▶ ☐ if the foundation is **not** required to attach Sch B | | | | |
| | 3 | Interest on savings and temporary cash investments | | | | |
| | 4 | Dividends and interest from securities | 669,766 | 872,506 | | |
| | 5a | Gross rents | 8,520 | | | |
| | b | Net rental income or (loss) 8,520 | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 | 3,511,255 | | | |
| | b | Gross sales price for all assets on line 6a 21,282,002 | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) | | 3,097,843 | | |
| | 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) | 12,666 | 10,525 | | |
| | 12 | **Total.** Add lines 1 through 11 | 4,211,566 | 3,980,874 | | |
| Operating and Administrative Expenses | 13 | Compensation of officers, directors, trustees, etc | 30,000 | 3,000 | | 27,000 |
| | 14 | Other employee salaries and wages | 903,878 | 0 | | 903,878 |
| | 15 | Pension plans, employee benefits | 155,938 | 0 | | 155,938 |
| | 16a | Legal fees (attach schedule) | 15,094 | 11,321 | | 3,374 |
| | b | Accounting fees (attach schedule) | 113,393 | 85,045 | | 28,348 |
| | c | Other professional fees (attach schedule) | 247,558 | 180,365 | | 67,193 |
| | 17 | Interest | | | | |
| | 18 | Taxes (attach schedule) (see instructions) | 61,740 | 11,312 | | 55,501 |
| | 19 | Depreciation (attach schedule) and depletion | | | | |
| | 20 | Occupancy | 75,766 | 0 | | 75,766 |
| | 21 | Travel, conferences, and meetings | 42,233 | 0 | | 42,233 |
| | 22 | Printing and publications | | | | |
| | 23 | Other expenses (attach schedule) | 458,908 | 155,270 | | 458,908 |
| | 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 2,104,508 | 446,313 | | 1,818,139 |
| | 25 | Contributions, gifts, grants paid | 2,752,982 | | | 2,753,215 |
| | 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 4,857,490 | 446,313 | | 4,571,354 |
| | 27 | Subtract line 26 from line 12 | | | | |
| | a | **Excess of revenue over expenses and disbursements** | -645,924 | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 3,534,561 | | |
| | c | **Adjusted net income**(if negative, enter -0-) | | | | |

**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 | (c) Fair Market Value |
|---|---|---|---|---|---|
| Assets | 1 | Cash—non-interest-bearing | 207,240 | 132,451 | 132,451 |
| | 2 | Savings and temporary cash investments | 1,988,616 | 33,599 | 33,599 |
| | 3 | Accounts receivable ▶<br>Less allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶<br>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) ▶<br>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) | 17,130,906 | 21,048,656 | 29,842,491 |
| | c | Investments—corporate bonds (attach schedule) | 444,325 | 444,325 | 502,485 |
| | 11 | Investments—land, buildings, and equipment basis ▶<br>Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 | Investments—mortgage loans | | | |
| | 13 | Investments—other (attach schedule) | 7,738,813 | 5,219,880 | 5,502,534 |
| | 14 | Land, buildings, and equipment basis ▶ 60,773<br>Less accumulated depreciation (attach schedule) ▶ 43,854 | 15,567 | 16,919 | 16,919 |
| | 15 | Other assets (describe ▶ ) | 6,000 | 4,500 | 4,500 |
| | 16 | **Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I) | 27,531,467 | 26,900,330 | 36,034,979 |
| Liabilities | 17 | Accounts payable and accrued expenses | 62,927 | 78,615 | |
| | 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 ▶ ) | 123,000 | 123,000 | |
| | 23 | **Total liabilities**(add lines 17 through 22) | 185,927 | 201,615 | |
| 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 | 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 | 27,345,540 | 26,698,715 | |
| | 30 | **Total net assets or fund balances** (see instructions) | 27,345,540 | 26,698,715 | |
| | 31 | **Total liabilities and net assets/fund balances** (see instructions) | 27,531,467 | 26,900,330 | |

**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 | 27,345,540 |
| 2 | Enter amount from Part I, line 27a | 2 | -645,924 |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 0 |
| 4 | Add lines 1, 2, and 3 | 4 | 26,699,616 |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | 901 |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 | 6 | 26,698,715 |

## 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 See Additional Data Table | | | |
| 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 See Additional Data Table | | | |
| b | | | |
| c | | | |
| d | | | |
| e | | | |

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

| (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | (l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h)) |
|---|---|---|---|
| a See Additional Data Table | | | |
| b | | | |
| c | | | |
| d | | | |
| e | | | |

| | | | |
|---|---|---|---|
| 2 Capital gain net income or (net capital loss) | If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 | 2 | 3,097,843 |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)<br>If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 | | 3 | |

## 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 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 | 5,185,277 | 27,096,581 | 0 191363 |
| 2014 | 4,663,647 | 21,621,811 | 0 215692 |
| 2013 | 3,951,874 | 32,150,516 | 0 122918 |
| 2012 | 3,244,267 | 32,025,181 | 0 101304 |
| 2011 | 3,223,599 | 34,180,493 | 0 094311 |

| | | |
|---|---|---|
| 2 **Total** of line 1, column (d) | 2 | 0 725588 |
| 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 145118 |
| 4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5 | 4 | 32,897,708 |
| 5 Multiply line 4 by line 3 | 5 | 4,774,050 |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 35,346 |
| 7 Add lines 5 and 6 | 7 | 4,809,396 |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 4,573,207 |

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<br>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 | 70,691 |
| c | All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b) | | | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | | 2 | 0 |
| 3 | Add lines 1 and 2. | | | 3 | 70,691 |
| 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 | 70,691 |
| 6 | Credits/Payments | | | | |
| a | 2016 estimated tax payments and 2015 overpayment credited to 2016 | 6a | 17,034 | | |
| b | Exempt foreign organizations—tax withheld at source | 6b | | | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | 90,000 | | |
| d | Backup withholding erroneously withheld | 6d | | | |
| 7 | Total credits and payments Add lines 6a through 6d. | | | 7 | 107,034 |
| 8 | Enter any **penalty** for underpayment of estimated tax Check here ☑ if Form 2220 is attached | | | 8 | 90 |
| 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 | 36,253 |
| 11 | Enter the amount of line 10 to be **Credited to 2017 estimated tax** ▶ 36,253 | **Refunded** ▶ | | 11 | 0 |

## 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 | | No |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)? | 1b | | No |
| | *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 | | No |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year<br>**(1)** On the foundation ▶ $ 0 **(2)** On foundation managers ▶ $ 0 | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ 0 | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS?<br>*If "Yes," attach a detailed description of the activities* | 2 | | No |
| 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 | | No |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | Yes | |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? | 4b | Yes | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>*If "Yes," attach the statement required by General Instruction T* | 5 | | No |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>• By language in the governing instrument, or<br>• 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 | | No |
| 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 | Yes | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions)<br>▶ CA, MA, NJ | | | |
| 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 | Yes | |
| 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 | | No |
| 10 | Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses* | 10 | | No |

**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 | | No |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | 12 | | No |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | Yes | |

Website address ▶www garfieldfoundation org

14 The books are in care of ▶Baldwin Brothers Telephone no ▶(508) 748-0800

Located at ▶204 Spring STreet Marion MA ZIP+4 ▶02738

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 | | No |
| | See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) 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 | | No |
| | 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 | | No |
| 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 ▶ 20____, 20____, 20____, 20____ | | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions ) | | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____ | | | | |
| 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 | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | | 4a | | No |
| 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 | | No |

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

**5a** During the year did the foundation pay or incur any amount to

**(1)** Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☑ No

**(2)** Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☑ No

**(3)** Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☑ No

**(4)** Provide a grant to an organization other than a charitable, etc , organization described in section 4945(d)(4)(A)? (see instructions) ☐ Yes ☑ No

**(5)** Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☑ No

**b** If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? **5b**

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No

*If "Yes," attach the statement required by Regulations section 53 4945–5(d)*

**6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☑ No

**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** 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? **7b**

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

**1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| Brian Garfield<br>936 Dewing Avenue Ste 1<br>Lafayette, CA 94549 | President/Trustee<br>10 00 | 10,000 | 0 | 0 |
| Ronald Berman<br>936 Dewing Avenue Ste 1<br>lafayette, CA 94549 | Vice President/Trustee<br>10 00 | 10,000 | 0 | 0 |
| Michael Baldwin<br>936 Dewing Avenue Ste 1<br>lafayette, CA 94549 | Secretary/Treasurer/Trustee<br>10 00 | 10,000 | 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 |
|---|---|---|---|---|
| Jennifer Curtis<br>936 Dewing ave ste 1<br>lafayette, CA 94549 | excutive director<br>40 00 | 137,526 | 13,753 | 3,947 |
| Ruth E Rominger<br>936 Dewing ave ste 1<br>lafayette, CA 94549 | Info & Ntwk Design D<br>40 00 | 115,203 | 11,520 | 2,581 |
| Eleni L Sotos<br>936 Dewing ave ste 1<br>lafayette, CA 94549 | Operations Manager<br>40 00 | 73,677 | 7,368 | 1,927 |
| Motaz Attalla<br>936 Dewing ave ste 1<br>lafayette, CA 94549 | Prog Coordinator, C<br>40 00 | 52,726 | 5,273 | 3,056 |
| Richard R Reed<br>936 Dewing ave ste 1<br>lafayette, CA 94549 | Exec Producer, Coll<br>40 00 | 44,677 | 0 | 2,115 |

**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 (see instructions). If none, enter "NONE".**

| **(a)** Name and address of each person paid more than $50,000 | **(b)** Type of service | **(c)** Compensation |
|---|---|---|
| Baldwin Brothers inc<br>204 Spring street<br>marion, CA 02738 | Investment management | 180,265 |
| Jennifer Breman<br>201 Pleasant Street<br>Holyoke, MA 01040 | Consultant | 148,200 |
| Raich Ende & Malter<br>90 Merrick Avenue<br>east meadow, NY 11554 | consultant | 98,393 |
| Orson Watson<br>65 Alban Street<br>Dorchester, MA 02124 | consultant | 66,866 |
| Interaction Institute for Social Change<br>89 South Street suite 405<br>boston, MA 02111 | consultant, meeting setup & support | 29,084 |
| **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** Funds received are used to paye administration expenses, and the balance is distributed to qualified charitable organizations under the internal renvenue code The organization's primary acitivity is to support by contributions, other organizations qualifying for exemption under 501(c)(3) of the internal revenuw code The trustees choose these organizations based upon their knowledge of the organizatios' activities no contributions, grants, gifts, loans etc are made to individuals | 2,752,982 |
| **2** Renewable energy alignment mapping project ("RE-AMP Project") is an engaged learning community of foundations & non-governmental/non-proft organizations initiated by the garfield foundation to strategize in a collaborative manner through a series of meetings and on-going inforamtion analysis RE-AMP Project has laid the groundwork for a three-pronged, nulti-stakeholder strategy that aims to create a clean efficient, secure energy system for the 21st century in the upper midwest states of illinois, minnesota, wisconsin, iowa, north dakota & south dakota This system will produce 80% less global warming pollution while revitalizing the region's economy over the next two decades RE-AMP enables non-profit 501(c)(3) organizations to design programs that are highly coordinated and funders to pool resources for the most effective gran making on the issue | 5,260 |
| **3** Collaborative network project | 422,080 |
| **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** | |
| **2** | |
| All other program-related investments See instructions | |
| **3** | |
| **Total.** Add lines 1 through 3 . . . . . . . . . . . . . . . . . . . . . . . . . ▶ | 0 |

## 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 | 29,772,924 |
| b | Average of monthly cash balances. | 1b | 1,101,318 |
| c | Fair market value of all other assets (see instructions). | 1c | 2,524,446 |
| d | **Total** (add lines 1a, b, and c). | 1d | 33,398,688 |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). — 1e: 0 | | |
| 2 | Acquisition indebtedness applicable to line 1 assets. | 2 | 0 |
| 3 | Subtract line 2 from line 1d. | 3 | 33,398,688 |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions). | 4 | 500,980 |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 32,897,708 |
| 6 | **Minimum investment return.** Enter 5% of line 5. | 6 | 1,644,885 |

## 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 | 1,644,885 |
| 2a | Tax on investment income for 2016 from Part VI, line 5. | 2a | 70,691 | | |
| b | Income tax for 2016 (This does not include the tax from Part VI ). | 2b | 55,962 | | |
| c | Add lines 2a and 2b. | | | 2c | 126,653 |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1. | | | 3 | 1,518,232 |
| 4 | Recoveries of amounts treated as qualifying distributions. | | | 4 | 0 |
| 5 | Add lines 3 and 4. | | | 5 | 1,518,232 |
| 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 | 1,518,232 |

## 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 | 4,571,354 |
| 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 | 1,853 |
| 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 | 4,573,207 |
| 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 | 4,573,207 |

**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 | | | | 1,518,232 |
| **2** Undistributed income, if any, as of the end of 2016 | | | | |
| **a** Enter amount for 2015 only. | | | 0 | |
| **b** Total for prior years 20___, 20___, 20___ | | 0 | | |
| **3** Excess distributions carryover, if any, to 2016 | | | | |
| **a** From 2011. . . . 1,536,316 | | | | |
| **b** From 2012. . . . 1,707,404 | | | | |
| **c** From 2013. . . . 2,382,133 | | | | |
| **d** From 2014. . . . 3,633,602 | | | | |
| **e** From 2015. . . . 3,847,318 | | | | |
| **f Total** of lines 3a through e. | 13,106,773 | | | |
| **4** Qualifying distributions for 2016 from Part XII, line 4 ▶ $ 4,573,207 | | | | |
| **a** Applied to 2015, but not more than line 2a | | | 0 | |
| **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. | | | | 1,518,232 |
| **e** Remaining amount distributed out of corpus | 3,054,975 | | | |
| **5** Excess distributions carryover applied to 2016 *(If an amount appears in column (d), the same amount must be shown in column (a) )* | 0 | | | 0 |
| **6 Enter the net total of each column as indicated below:** | | | | |
| **a** Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 16,161,748 | | | |
| **b** Prior years' undistributed income Subtract line 4b from line 2b | | 0 | | |
| **c** Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. | | 0 | | |
| **d** Subtract line 6c from line 6b Taxable amount —see instructions | | 0 | | |
| **e** Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount—see instructions | | | 0 | |
| **f** Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017 | | | | 0 |
| **7** Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions) | 0 | | | |
| **8** Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions) | 1,536,316 | | | |
| **9 Excess distributions carryover to 2017.** Subtract lines 7 and 8 from line 6a | 14,625,432 | | | |
| **10** Analysis of line 9 | | | | |
| **a** Excess from 2012. . . 1,707,404 | | | | |
| **b** Excess from 2013. . . 2,382,133 | | | | |
| **c** Excess from 2014. . . 3,633,602 | | | | |
| **d** Excess from 2015. . . 3,847,318 | | | | |
| **e** Excess from 2016. . . 3,054,975 | | | | |

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

**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 organization is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

| | Tax year | Prior 3 years | | | (e) Total |
|---|---|---|---|---|---|
| | (a) 2016 | (b) 2015 | (c) 2014 | (d) 2013 | |
| **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 organization 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) )

**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

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

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

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

eleni sotos program assistant
936 dewing avenue ste 1
Lafayette, CA 94549
(925) 385-0314

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

Qualifying nonprofit organizations wishing to inquire about applying for a grant must send a brief email summarizing the project concept to inquiry@garfieldfoundation org If the organization is invited to apply for a grant, the foundation will provide specific proposal guidelines

**c** Any submission deadlines

proposal submission deadlines vary per applicant

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

The organizations awards grants in tow key areas environmental sustainability and community revitalization, and supports projects primarily within the united states, with the exception of its biodiversity conservation programs

**Part XV** **Supplementary Information** (continued)

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

| Recipient<br>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*<br>See Additional Data Table | | | | |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 2,753,215 |
| **b** *Approved for future payment* | | | | |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3b** | | | | 0 |

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

| Enter gross amounts unless otherwise indicated | Unrelated business income (a) Business code | Unrelated business income (b) Amount | Excluded by section 512, 513, or 514 (c) Exclusion code | Excluded by section 512, 513, or 514 (d) Amount | (e) Related or exempt function income (See instructions ) |
|---|---|---|---|---|---|
| 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 | 669,766 | |
| 5 Net rental income or (loss) from real estate | | | | | |
| a Debt-financed property. . . . . . | | | 16 | 8,520 | |
| b Not debt-financed property. . . . . | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income. . . . . | | | 01 | 10,525 | |
| 8 Gain or (loss) from sales of assets other than inventory . . . . . . . . . . . . . | | | 18 | 3,511,255 | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue | | | | | |
| a Misc Income | | | 01 | 2,141 | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e). . | | 0 | | 4,202,207 | 0 |

**13 Total.** Add line 12, columns (b), (d), and (e). . . . . . . . . . . . . . . . . . 13 4,202,207

(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 ) |
|---|---|
| | |

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

**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 |
|---|---|---|---|
| | | | |

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

**b** If "Yes," complete the following schedule

| **(a)** Name of organization | **(b)** Type of organization | **(c)** Description of relationship |
|---|---|---|
| | | |

**Sign Here**

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

| ****** | 2018-10-12 | ****** | May the IRS discuss this return with the preparer shown below (see instr )? ☑ **Yes** ☐ **No** |
|---|---|---|---|
| Signature of officer or trustee | Date | Title | |

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's Signature | Date | Check if self-employed ▶ ☐ | PTIN |
|---|---|---|---|---|
| Harry A Kalajian Jr CPA | | | | P00464296 |
| Firm's name ▶ Wolf & Company PC | | | | Firm's EIN ▶04-2689883 |
| Firm's address ▶ 99 High Street 21st Floor Boston, MA 02110 | | | | Phone no (617) 439-9700 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| (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 ) |
|---|---|---|---|
| NIELSEN HOLDINGS PLC - SHS EUR0 07 | P | 2016-09-29 | 2016-12-05 |
| TELENOR ASA - SHS | P | 2016-03-31 | 2017-01-11 |
| TELENOR ASA - SHS | P | 2016-04-25 | 2017-01-11 |
| SEVERN TRENT PLC - ORD | P | 2016-03-08 | 2017-01-31 |
| SEVERN TRENT PLC - ORD | D | 2016-03-08 | 2017-01-31 |
| SEVERN TRENT PLC - ORD | P | 2016-04-25 | 2017-01-31 |
| APPLE INC - COMMON | P | 2016-09-19 | 2017-02-08 |
| FIRST REPUBLIC BANK - COMMON | P | 2016-12-20 | 2017-02-08 |
| HASBRO INC - COMMON | P | 2016-11-04 | 2017-02-08 |
| HUMANA INC - COMMON | P | 2016-08-31 | 2017-02-08 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (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) |
|---|---|---|---|
| 364,677 | | 463,114 | -98,437 |
| 61,925 | | 68,834 | -6,909 |
| 151,963 | | 167,778 | -15,815 |
| 237,980 | | 253,672 | -15,692 |
| 187,584 | | 208,575 | -20,991 |
| 134,389 | | 152,913 | -18,524 |
| 342,474 | | 298,780 | 43,694 |
| 25,128 | | 24,859 | 269 |
| 204,271 | | 174,303 | 29,968 |
| 44,689 | | 40,178 | 4,511 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| 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 | |
| | | | -98,437 |
| | | | -6,909 |
| | | | -15,815 |
| | | | -15,692 |
| | | | -20,991 |
| | | | -18,524 |
| | | | 43,694 |
| | | | 269 |
| | | | 29,968 |
| | | | 4,511 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| (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 ) |
|---|---|---|---|
| NORDSTROM INC - COMMON | P | 2016-12-12 | 2017-02-08 |
| MERCK & CO INC - COMMON | P | 2016-03-30 | 2017-02-08 |
| MICROSOFT CORP - COMMON | P | 2016-12-20 | 2017-02-08 |
| PEPSICO INC - COMMON | P | 2016-03-30 | 2017-02-08 |
| ZIMMER BIOMET HLDS - COMMON | P | 2017-02-08 | 2017-03-27 |
| PAYPAL HLDGS INC - COM USD0 0001 | P | 2017-02-08 | 2017-04-18 |
| SVB FINANCIAL GROUP - COMMON | P | 2017-02-08 | 2017-05-01 |
| EOG RESOURCES INC - COMMON | P | 2017-02-08 | 2017-05-03 |
| EOG RESOURCES INC - COMMON | P | 2017-04-18 | 2017-05-03 |
| AKAMAI TECH INC - COMMON | P | 2017-02-08 | 2017-06-07 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|---|---|---|---|
| 75,941 | | 102,391 | -26,450 |
| 59,745 | | 49,536 | 10,209 |
| 13,289 | | 13,294 | -5 |
| 76,069 | | 73,754 | 2,315 |
| 434,564 | | 424,682 | 9,882 |
| 6,243 | | 5,942 | 301 |
| 445,836 | | 437,886 | 7,950 |
| 677,808 | | 730,771 | -52,963 |
| 155,084 | | 161,534 | -6,450 |
| 301,776 | | 396,798 | -95,022 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| 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 | |
| | | | -26,450 |
| | | | 10,209 |
| | | | -5 |
| | | | 2,315 |
| | | | 9,882 |
| | | | 301 |
| | | | 7,950 |
| | | | -52,963 |
| | | | -6,450 |
| | | | -95,022 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| (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 ) |
|---|---|---|---|
| UNITED RENTALS INC - COMMON | P | 2017-04-18 | 2017-06-07 |
| UNITED RENTALS INC - COMMON | P | 2017-04-18 | 2017-07-19 |
| ZOETIS INC - COMMON | P | 2017-02-07 | 2017-07-20 |
| BRIGHTHOUSE FINANCAL - COMMON STOCK | P | 2017-02-06 | 2017-08-10 |
| PRUDENTIAL INVT PORT - PRU ABRTN FD Z | P | 2017-07-12 | 2017-08-15 |
| BRIGHTHOUSE FINANCAL - COMMON STOCK | P | 2017-02-06 | 2017-08-17 |
| GENERAL ELECTRIC CO - COMMON | P | 2017-04-18 | 2017-09-26 |
| JETBLUE AIRWAYS CORP - COMMON | P | 2017-04-18 | 2017-09-26 |
| NIKE INC - CLASS B | P | 2017-02-08 | 2017-10-13 |
| NORDSTROM INC - COMMON | P | 2016-12-12 | 2017-11-09 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|---|---|---|---|
| 116,004 | | 131,605 | -15,601 |
| 35,326 | | 35,892 | -566 |
| 171,798 | | 153,544 | 18,254 |
| 5 | | 5 | 0 |
| 300,000 | | 299,393 | 607 |
| 42,887 | | 44,907 | -2,020 |
| 84,906 | | 101,062 | -16,156 |
| 180,490 | | 199,783 | -19,293 |
| 115,709 | | 122,199 | -6,490 |
| 138,475 | | 205,674 | -67,199 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| 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 | |
| | | | -15,601 |
| | | | -566 |
| | | | 18,254 |
| | | | 0 |
| | | | 607 |
| | | | -2,020 |
| | | | -16,156 |
| | | | -19,293 |
| | | | -6,490 |
| | | | -67,199 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| (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 ) |
|---|---|---|---|
| NORDSTROM INC - COMMON | P | 2016-12-19 | 2017-11-09 |
| NORDSTROM INC - COMMON | P | 2016-12-20 | 2017-11-09 |
| ANHEUSER BUSCH INBEV - ADR EA REP 1 ORD NPV | P | 2014-11-21 | 2016-12-05 |
| ANHEUSER BUSCH INBEV - ADR EA REP 1 ORD NPV | P | 2015-10-16 | 2016-12-05 |
| ANHEUSER BUSCH INBEV - ADR EA REP 1 ORD NPV | D | 2015-10-22 | 2016-12-05 |
| CORBION N V - SHARES | P | 2015-10-30 | 2016-12-08 |
| TELENOR ASA - SHS | P | 2011-02-11 | 2017-01-11 |
| TELENOR ASA - SHS | D | 2015-11-25 | 2017-01-11 |
| THERMO FISHER SCI - COMMON | P | 2014-11-21 | 2017-02-02 |
| THERMO FISHER SCI - COMMON | P | 2014-12-24 | 2017-02-02 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|---|---|---|---|
| 221,239 | | 280,720 | -59,481 |
| 32,264 | | 41,753 | -9,489 |
| 175,181 | | 194,575 | -19,394 |
| 343,148 | | 383,688 | -40,540 |
| 220,006 | | 257,823 | -37,817 |
| 130,201 | | 122,880 | 7,321 |
| 333,178 | | 343,786 | -10,608 |
| 151,963 | | 162,380 | -10,417 |
| 241,936 | | 201,703 | 40,233 |
| 241,936 | | 204,068 | 37,868 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| 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 | |
| | | | -59,481 |
| | | | -9,489 |
| | | | -19,394 |
| | | | -40,540 |
| | | | -37,817 |
| | | | 7,321 |
| | | | -10,608 |
| | | | -10,417 |
| | | | 40,233 |
| | | | 37,868 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| (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 ) |
|---|---|---|---|
| THERMO FISHER SCI - COMMON | P | 2015-08-27 | 2017-02-02 |
| THERMO FISHER SCI - COMMON | D | 2015-08-27 | 2017-02-02 |
| THERMO FISHER SCI - COMMON | D | 2015-04-29 | 2017-02-02 |
| BERKSHIRE HATHAWAY - CLASS B | P | 2011-05-11 | 2017-02-08 |
| BERKSHIRE HATHAWAY - CLASS B | D | 2011-05-11 | 2017-02-08 |
| AMAZON COM INC - COMMON | P | 2014-11-17 | 2017-02-08 |
| AMAZON COM INC - COMMON | P | 2014-12-19 | 2017-02-08 |
| APPLE INC - COMMON | P | 2013-03-18 | 2017-02-08 |
| APPLE INC - COMMON | P | 2012-07-27 | 2017-02-08 |
| CARA THERAPEUTICS - COM USD0 001 | P | 2014-02-27 | 2017-02-08 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|---|---|---|---|
| 43,851 | | 36,865 | 6,986 |
| 201,109 | | 185,708 | 15,401 |
| 154,990 | | 143,121 | 11,869 |
| 281,574 | | 138,633 | 142,941 |
| 488,279 | | 426,390 | 61,889 |
| 35,274 | | 13,846 | 21,428 |
| 67,266 | | 24,604 | 42,662 |
| 223,926 | | 109,040 | 114,886 |
| 247,635 | | 155,390 | 92,245 |
| 81,908 | | 88,399 | -6,491 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| 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 | |
| | | | 6,986 |
| | | | 15,401 |
| | | | 11,869 |
| | | | 142,941 |
| | | | 61,889 |
| | | | 21,428 |
| | | | 42,662 |
| | | | 114,886 |
| | | | 92,245 |
| | | | -6,491 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| **(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 ) |
|---|---|---|---|
| CARA THERAPEUTICS - COM USD0 001 | P | 2014-06-24 | 2017-02-08 |
| CARA THERAPEUTICS - COM USD0 001 | P | 2014-07-22 | 2017-02-08 |
| ALLIANCEBERSTEIN HLD - COMMON | P | 2012-12-21 | 2017-02-08 |
| ALLIANCEBERSTEIN HLD - COMMON | P | 2012-12-21 | 2017-02-08 |
| AMERN INTL GROUP INC - COMMON | P | 2014-01-08 | 2017-02-08 |
| AMERN INTL GROUP INC - COMMON | P | 2013-11-11 | 2017-02-08 |
| AMERN INTL GROUP INC - COMMON | D | 2013-11-11 | 2017-02-08 |
| AMERN INTL GROUP INC - COMMON | D | 2015-06-12 | 2017-02-08 |
| BANK OF AMERICA CORP - COMMON | P | 2015-06-12 | 2017-02-08 |
| BANK OF AMERICA CORP - COMMON | P | 2013-02-21 | 2017-02-08 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| **(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) |
|---|---|---|---|
| 81,908 | | 86,341 | -4,433 |
| 81,908 | | 68,337 | 13,571 |
| 230,847 | | 182,599 | 48,248 |
| 115,424 | | 91,300 | 24,124 |
| 324,296 | | 256,729 | 67,567 |
| 454,015 | | 341,636 | 112,379 |
| 259,437 | | 214,280 | 45,157 |
| 58,373 | | 48,213 | 10,160 |
| 135,659 | | 104,580 | 31,079 |
| 83,996 | | 42,648 | 41,348 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| 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 | |
| | | | -4,433 |
| | | | 13,571 |
| | | | 48,248 |
| | | | 24,124 |
| | | | 67,567 |
| | | | 112,379 |
| | | | 45,157 |
| | | | 10,160 |
| | | | 31,079 |
| | | | 41,348 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| **(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 ) |
|---|---|---|---|
| BANK OF AMERICA CORP - COMMON | P | 2015-06-12 | 2017-02-08 |
| MARRIOTT INTL INC - CLASS A | D | 2013-07-29 | 2017-02-08 |
| S&P GLOBAL INC - COMMON | P | 2014-04-30 | 2017-02-08 |
| S&P GLOBAL INC - COMMON | P | 2014-04-30 | 2017-02-08 |
| UNITED RENTALS INC - COMMON | P | 2013-10-03 | 2017-02-08 |
| UNITED RENTALS INC - COMMON | P | 2013-10-18 | 2017-02-08 |
| HIGHWATER GLOBAL FUND II LLC - Highwater Global | P | 2015-01-02 | 2017-04-14 |
| PAYPAL HLDGS INC - COM USD0 0001 | P | 2015-11-02 | 2017-04-18 |
| PAYPAL HLDGS INC - COM USD0 0001 | P | 2015-11-02 | 2017-04-18 |
| HIGHWATER GLOBAL FUND II LLC - Highwater Global | P | 2015-01-02 | 2017-05-19 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| **(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) |
|---|---|---|---|
| 54,264 | | 41,832 | 12,432 |
| 283,612 | | 237,867 | 45,745 |
| 49,241 | | 29,199 | 20,042 |
| 449,400 | | 266,483 | 182,917 |
| 163,840 | | 79,039 | 84,801 |
| 90,609 | | 47,404 | 43,205 |
| 2,133,424 | | 1,969,097 | 164,327 |
| 65,656 | | 56,534 | 9,122 |
| 344,425 | | 296,570 | 47,855 |
| 112,285 | | 103,572 | 8,713 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| 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 | |
| | | | 12,432 |
| | | | 45,745 |
| | | | 20,042 |
| | | | 182,917 |
| | | | 84,801 |
| | | | 43,205 |
| | | | 164,327 |
| | | | 9,122 |
| | | | 47,855 |
| | | | 8,713 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| (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 ) |
|---|---|---|---|
| DOUBLELINE FDS TR - TTL RTN BD I | P | 2015-04-22 | 2017-07-12 |
| DOUBLELINE FDS TR - TTL RTN BD I | P | 2015-04-09 | 2017-07-12 |
| DOUBLELINE FDS TR - TTL RTN BD I | P | 2015-04-22 | 2017-07-12 |
| UNITED RENTALS INC - COMMON | P | 2013-10-03 | 2017-07-19 |
| UNITED RENTALS INC - COMMON | P | 2013-10-03 | 2017-07-19 |
| BANK OF AMERICA CORP - COMMON | P | 2013-02-21 | 2017-07-20 |
| BANK OF AMERICA CORP - COMMON | P | 2013-02-21 | 2017-07-20 |
| NIKE INC - CLASS B | P | 2016-03-07 | 2017-10-13 |
| NIKE INC - CLASS B | D | 2016-03-07 | 2017-10-13 |
| HASBRO INC - COMMON | P | 2016-09-29 | 2017-10-23 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|---|---|---|---|
| 531,823 | | 549,219 | -17,396 |
| 290,498 | | 300,000 | -9,502 |
| 96,833 | | 100,000 | -3,167 |
| 482,783 | | 245,501 | 237,282 |
| 100,089 | | 50,897 | 49,192 |
| 478,019 | | 229,600 | 248,419 |
| 269,722 | | 129,552 | 140,170 |
| 142,098 | | 165,917 | -23,819 |
| 152,248 | | 194,160 | -41,912 |
| 188,776 | | 168,515 | 20,261 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| 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 | |
| | | | -17,396 |
| | | | -9,502 |
| | | | -3,167 |
| | | | 237,282 |
| | | | 49,192 |
| | | | 248,419 |
| | | | 140,170 |
| | | | -23,819 |
| | | | -41,912 |
| | | | 20,261 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| (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 ) |
|---|---|---|---|
| SPDR GOLD TR GOLD - GOLD SHARES NPV | P | 2009-01-29 | 2017-01-23 |
| JOHNSON & JOHNSON - COMMON | P | 1997-07-11 | 2017-02-01 |
| JOHNSON & JOHNSON - COMMON | P | 2000-03-31 | 2017-02-01 |
| JOHNSON & JOHNSON - COMMON | P | 2001-03-27 | 2017-02-01 |
| ALPHABET INC - CLASS C | P | 2008-02-01 | 2017-02-07 |
| ALPHABET INC - CLASS C | P | 2009-10-09 | 2017-02-08 |
| ALPHABET INC - CLASS C | P | 2010-09-22 | 2017-02-08 |
| ALPHABET INC - CLASS C | P | 2008-02-01 | 2017-02-08 |
| ECOLAB INC - COMMON | D | 2007-06-28 | 2017-02-08 |
| ENTERPRISE PRODS - COMMON | D | 2003-03-26 | 2017-02-08 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (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) |
|---|---|---|---|
| 579,234 | | 416,132 | 163,102 |
| 485,490 | | 147,732 | 337,758 |
| 225,809 | | 70,623 | 155,186 |
| 79,033 | | 28,663 | 50,370 |
| 52,496 | | 17,050 | 35,446 |
| 79,740 | | 25,548 | 54,192 |
| 171,394 | | 54,291 | 117,103 |
| 89,244 | | 28,954 | 60,290 |
| 359,841 | | 326,940 | 32,901 |
| 198,998 | | 142,739 | 56,259 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| 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 | |
| | | | 163,102 |
| | | | 337,758 |
| | | | 155,186 |
| | | | 50,370 |
| | | | 35,446 |
| | | | 54,192 |
| | | | 117,103 |
| | | | 60,290 |
| | | | 32,901 |
| | | | 56,259 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| (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 ) |
|---|---|---|---|
| ENTERPRISE PRODS - COMMON | D | 2002-07-24 | 2017-02-08 |
| MAGELLAN MIDSTREAM - COMMON UNIT | D | 2003-04-07 | 2017-02-08 |
| GENERAL ELECTRIC CO - COMMON | P | 1997-06-13 | 2017-02-08 |
| GENERAL ELECTRIC CO - COMMON | D | 2010-03-08 | 2017-02-08 |
| SPDR GOLD TR GOLD - GOLD SHARES NPV | P | 2009-01-29 | 2017-06-08 |
| GENERAL ELECTRIC CO - COMMON | D | 2010-03-08 | 2017-09-26 |
| GENERAL ELECTRIC CO - COMMON | P | 2010-03-08 | 2017-10-13 |
| GENERAL ELECTRIC CO - COMMON | P | 2010-03-08 | 2017-10-13 |
| GENERAL ELECTRIC CO - COMMON | D | 2010-03-08 | 2017-10-13 |
| Net ST Cap Cains - Passthru | P | | |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (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) |
|---|---|---|---|
| 85,285 | | 61,174 | 24,111 |
| 196,748 | | 154,042 | 42,706 |
| 58,726 | | 44,219 | 14,507 |
| 234,904 | | 248,720 | -13,816 |
| 304,174 | | 211,087 | 93,087 |
| 50,240 | | 62,180 | -11,940 |
| 103,261 | | 73,526 | 29,735 |
| 309,782 | | 221,265 | 88,517 |
| 45,894 | | 62,180 | -16,286 |
| | | 30,443 | -30,443 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| 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 | |
| | | | 24,111 |
| | | | 42,706 |
| | | | 14,507 |
| | | | -13,816 |
| | | | 93,087 |
| | | | -11,940 |
| | | | 29,735 |
| | | | 88,517 |
| | | | -16,286 |
| | | | -30,443 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| (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 ) |
|---|---|---|---|
| Net LT Cap Cains - Passthru | P | | |
| Unrecaptured 1250 - passthru | P | | |
| Section 1231 - passthru | P | | |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|---|---|---|---|
| 148,304 | | | 148,304 |
| 13,296 | | | 13,296 |
| 702 | | | 702 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| 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 | |
| | | | 148,304 |
| | | | 13,296 |
| | | | 702 |

## Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

| Recipient<br>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* | | | | |
| Our Sisters School PO Box 7269<br>New Bedford, MA 02742 | not related | PC | exempt purposes | 2,500 |
| Leadership SouthCoast<br>65 Rockland Street<br>S Dartmouth, MA 02748 | not related | PC | exempt purposes | 5,000 |
| Int'l Honors ProgramWorld Learning<br>19 Braddock Park<br>Boston, MA 02116 | not related | PC | exempt purposes | 5,000 |
| Mustard Seed The PO Box 88<br>Washington, VA 22747 | not related | PC | exempt purposes | 10,000 |
| Nativity Preparatory School<br>66 Spring Street<br>New Bedford, MA 02740 | not related | PC | exempt purposes | 5,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 2,753,215 |

## Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

| Recipient<br>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* | | | | |
| NRDC 40 West 20th Street<br>New York, NY 10011 | not related | PC | exempt purposes | 5,000 |
| Sterling College 16 Sterling Dr<br>Craftsbury Common, VT 05827 | not related | PC | exempt purposes | 6,000 |
| Sustainable Cape<br>8 Truro Center Road PO Box 1004<br>Truro, MA 026661004 | not related | PC | exempt purposes | 5,000 |
| Cambodian Living Arts<br>228 Park Ave S 49331<br>New York, NY 10003 | not related | PC | exempt purposes | 10,000 |
| World Women Work 8 Cole Lane<br>Santa Fe, NM 87508 | not related | PC | exempt purposes | 10,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 2,753,215 |

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>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* | | | | |
| New Bedford Symphony Orchestra<br>PO Box 2053<br>New Bedford, MA 02741 | not related | PC | exempt purposes | 10,000 |
| Environmental Group of Coal Creek Canyon<br>PO Box 7014<br>Golden, CO 80403 | not related | PC | exempt purposes | 5,000 |
| Marion Institute The 202 Spring Street<br>Marion, MA 02738 | not related | PC | exempt purposes | 1,500 |
| Marion Institute The 202 Spring Street<br>Marion, MA 02738 | not related | PC | exempt purposes | 500 |
| Honor the Earth<br>po box 63 607 main ave<br>callaway, MN 56521 | not related | PC | exempt purposes | 1,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 2,753,215 |

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>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* | | | | |
| Earth Rights International<br>1612 K St NW 401<br>Washington, DC 20006 | not related | PC | exempt purposes | 1,000 |
| Planned Parenthood<br>123 william Street 10th floor<br>New York, NY 10038 | not related | PC | exempt purposes | 1,000 |
| Big City Mountaineers 1667 Vine Street<br>Denver, CO 80206 | not related | PC | exempt purposes | 500 |
| TRU Community Care<br>2594 Trailridge Dr E<br>lafayette, CO 80026 | not related | PC | exempt purposes | 500 |
| Leave No Trace po box 997<br>boulder, CO 80306 | not related | PC | exempt purposes | 500 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 2,753,215 |

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>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* | | | | |
| Global Greengrants Fund<br>2840 Wilderness Place Suite A<br>Boulder, CO 80301 | not related | PC | exempt purposes | 2,000 |
| Lionheart Foundation The<br>PO Box 170115<br>Boston, MA 02117 | not related | PC | exempt purposes | 1,000 |
| Save the Colorado River po box 1066<br>fort collins, CO 80522 | not related | PC | exempt purposes | 5,000 |
| Wildlife Waystation<br>14831 Little Tujunga Canyon Road<br>Angeles National Fores, CA 913425999 | not related | PC | exempt purposes | 20,000 |
| Planned Parenthood Los Angeles<br>400 West 30th Street<br>Los Angeles, CA 90007 | not related | PC | exempt purposes | 2,500 |
| **Total . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ 3a** | | | | 2,753,215 |

## Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

| Recipient<br>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* | | | | |
| Tree People Inc 12601 Mulholland Drive<br>Beverly Hills, CA 90210 | not related | PC | exempt purposes | 5,000 |
| Rainforest Action Network<br>425 Bush Street Suite 300<br>San Francisco, CA 94108 | not related | PC | exempt purposes | 5,000 |
| Population Connection<br>2120 L St NW Ste 500<br>Washington, DC 20037 | not related | PC | exempt purposes | 2,000 |
| Bioneers 1014 Torney Avenue<br>San Francisco, CA 94129 | not related | PC | exempt purposes | 2,000 |
| Giraffe Project<br>197 Second Street po box 759<br>Langley, WA 98260 | not related | PC | exempt purposes | 2,000 |
| **Total . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ 3a** | | | | 2,753,215 |

## Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

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|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| Gov't Accountability Project (GAP)<br>1612 K Street NW suite 1100<br>Washington, DC 20006 | not related | PC | exempt purposes | 2,000 |
| Greenpeace Fund<br>702 H Street NW Suite 300<br>Washington, DC 20001 | not related | PC | exempt purposes | 2,500 |
| Anti-Defamation League of Los Angeles<br>605 Third Avenue<br>New York, NY 101583560 | not related | PC | exempt purposes | 2,000 |
| Southern California Library<br>6120 S Vermont Avenue<br>Los Angeles, CA 90044 | not related | PC | exempt purposes | 1,000 |
| Environmental Group of Coal Creek Canyon<br>PO Box 7014<br>Golden, CO 80403 | not related | PC | exempt purposes | 1,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 2,753,215 |

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>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* | | | | |
| Marion Institute The 202 Spring Street<br>Marion, MA 02738 | not related | PC | exempt purposes | 2,000 |
| ACLU Foundation<br>c/o Gift Processing Dept 125 Broad St 15th Fl<br>New York, NY 10004 | not related | PC | exempt purposes | 7,500 |
| So Poverty Law Center<br>400 Washington Avenue<br>Montgomery, AL 36104 | not related | PC | exempt purposes | 5,000 |
| Huntington Cancer Center<br>Office of Philanthropy Huntington Hospital<br>Pasadena, CA 91105 | not related | PC | exempt purposes | 2,500 |
| Huntington Cancer Center<br>Office of Philanthropy Huntington Hospital<br>Pasadena, CA 91105 | not related | PC | exempt purposes | 2,500 |
| **Total . . . 3a** ▶ | | | | 2,753,215 |

## Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

| Recipient<br>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* | | | | |
| Foundation for Morris Hall<br>2381 Lawrenceville Road<br>Lawrenceville, NJ 086482024 | not related | PC | exempt purposes | 10,000 |
| Passage Theatre Company<br>16 e hanover st<br>trenton, NJ 08608 | not related | PC | exempt purposes | 2,000 |
| Dance RingNY Theatre Ballet The<br>131 East 10th Street 2nd Floor<br>New York, NY 10003 | not related | PC | exempt purposes | 2,000 |
| Trenton Area Soup Kitchen 72 Escher st<br>trenton, NJ 08609 | not related | PC | exempt purposes | 6,000 |
| PHCS Foundation One Plainsboro Road<br>Plainsboro, NJ 08536 | not related | PC | exempt purposes | 15,000 |
| **Total . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .** ▶ **3a** | | | | 2,753,215 |

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>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* | | | | |
| NYU Langone Medical Center<br>25 W Fourth Street<br>New York, NY 100121119 | not related | PC | exempt purposes | 25,000 |
| RWJ University Hospital Foundation<br>10 Plum Street Suite 910<br>New Brunswick, NJ 08901 | not related | PC | exempt purposes | 15,000 |
| Marion Institute The 202 Spring Street<br>Marion, MA 02738 | not related | PC | exempt purposes | 1,000 |
| So Poverty Law Center<br>400 Washington Avenue<br>Montgomery, AL 36104 | not related | PC | exempt purposes | 1,000 |
| ACLU Foundation<br>c/o Gift Processing Dept 125 Broad<br>St 15th Fl<br>New York, NY 10004 | not related | PC | exempt purposes | 1,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 2,753,215 |

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>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* | | | | |
| Susan Love Research Foundation<br>16133 Ventura Blvd Suite 1000<br>Encino, CA 91436 | not related | PC | exempt purposes | 1,500 |
| Tree People Inc 12601 Mulholland Drive<br>Beverly Hills, CA 90210 | not related | PC | exempt purposes | 2,500 |
| Rainforest Action Network<br>425 Bush Street Suite 300<br>San Francisco, CA 94108 | not related | PC | exempt purposes | 1,500 |
| Power Shift Network<br>1875 Connecticut Ave NW 10th Floor<br>Washington, DC 20009 | not related | PC | exempt purposes | 3,000 |
| Story of Stuff Project The<br>1442 A Walnut Street 272<br>Berkeley, CA 94709 | not related | PC | exempt purposes | 1,000 |
| **Total . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ 3a** | | | | 2,753,215 |

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>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* | | | | |
| Buddhayana Foundation<br>204 Spring Street<br>Marion, MA 02738 | not related | PC | exempt purposes | 500 |
| United Way of Greater New Bedford<br>128 Union Street Suite 105<br>New Bedford, MA 02740 | not related | PC | exempt purposes | 1,500 |
| ACLU Foundation<br>c/o Gift Processing Dept 125 Broad St 15th Fl<br>New York, NY 10004 | not related | PC | exempt purposes | 1,000 |
| Consultative Group for Bio Diversity<br>Presidio Building 1016 po box 29361<br>San Francisco, CA 941290361 | not related | PC | exempt purposes | 375 |
| Environmental Grantmakers Association<br>475 Riverside Drive Ste 960<br>New York, NY 10115 | not related | PC | exempt purposes | 7,607 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 2,753,215 |

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>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* | | | | |
| Institute for Strategic Clarity<br>540 Abbot Hill Rd<br>Wilton, NH 03086 | not related | PC | exempt purposes | 100,000 |
| Minneapolis Foundation The<br>c/o RE-AMP Network 800 IDS Center<br>MInneapolis, MN 55402 | not related | PC | exempt purposes | 500,000 |
| Breast Cancer Prevention Partners<br>1388 Sutter Street Suite 400<br>San Francisco, CA 94109 | not related | PC | exempt purposes | 250,000 |
| Clean Production Action<br>1310 Broadway Suite 101<br>Somerville, MA 02144 | not related | PC | exempt purposes | 250,000 |
| Children's Environmental Health Network<br>110 Maryland Avenue NE Suite 404<br>Washington, DC 20002 | not related | PC | exempt purposes | 250,000 |
| **Total . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ 3a** | | | | 2,753,215 |

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

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|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| Labor Institute The<br>817 Broadway 6th Floor<br>New York, NY 10003 | not related | PC | exempt purposes | 101,700 |
| Mercury Policy ProjectTides<br>1420 Norht Street<br>Montpelier, VT 05602 | not related | PC | exempt purposes | 90,000 |
| Consumers for Dental Choice<br>316 F street NE Suite 210<br>Washington, DC 20002 | not related | PC | exempt purposes | 50,000 |
| Community Foundation of SE Massachusetts<br>63 Union Street<br>New Bedford, MA 02740 | not related | PC | exempt purposes | 35,000 |
| New Bedford Economic Development Council<br>1213 Purchase Street 3rd Floor<br>New Bedford, MA 02740 | not related | PC | exempt purposes | 25,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 2,753,215 |

## Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

| Recipient<br>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* | | | | |
| Rising Tide Capital PO Box 3099<br>Jersey City, NJ 07303 | not related | PC | exempt purposes | 25,000 |
| Labor Institute The<br>817 Broadway 6th Floor<br>New York, NY 10003 | not related | PC | exempt purposes | 40,000 |
| Children's Environmental Health Network<br>110 Maryland Avenue NE Suite 404<br>Washington, DC 20002 | not related | PC | exempt purposes | 40,000 |
| Clean Production Action<br>1310 Broadway Suite 101<br>Somerville, MA 02144 | not related | PC | exempt purposes | 40,000 |
| Breast Cancer Prevention Partners<br>1388 Sutter Street Suite 400<br>San Francisco, CA 94109 | not related | PC | exempt purposes | 40,000 |
| **Total . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ 3a** | | | | 2,753,215 |

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>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* | | | | |
| Brookings Institution<br>1775 Massachusetts Ave NW<br>Washington, DC 20036 | not related | PC | exempt purposes | 35,000 |
| Funders' Network for Smart Growth and Livable Communities<br>1500 San Remo Avenue Suite 249<br>Coral Gables, FL 33146 | not related | PC | exempt purposes | 35,000 |
| Greater Trenton Inc 102 Barrack Street<br>Trenton, NJ 08608 | not related | PC | exempt purposes | 50,000 |
| PolicyLink<br>1438 Webster Street Suite 303<br>Oakland, CA 94612 | not related | PC | exempt purposes | 65,000 |
| Communities for a Better Environment<br>6325 Pacific Blvd Suite 300<br>Huntington Pak, CA 90255 | not related | PC | exempt purposes | 5,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 2,753,215 |

## Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

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|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| BlueGreen Alliance Foundation<br>1300 Godward St SE Suite 2625<br>Minneapolis, MN 55413 | not related | PC | exempt purposes | 213,300 |
| Natural Resources Defense Council<br>40 West 20th Street<br>New York, NY 10011 | not related | PC | exempt purposes | 125,000 |
| Story of Stuff Project The<br>1442 A Walnut Street 272<br>Berkeley, CA 94709 | not related | PC | exempt purposes | 75,000 |
| Global Philanthropy Partnership<br>2440 N Lakeview 15A<br>Chicago, IL 60614 | not related | PC | exempt purposes | 55,000 |
| Charitable contribution - passthru<br>c/o garfield foundation<br>Marion, MA 02738 | not related | PC | exempt purposes | 233 |
| **Total . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ 3a** | | | | 2,753,215 |

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93491286004018

# TY 2016 Accounting Fees Schedule

**Name:** The Garfield Foundation
c/o Baldwin brothers
**EIN:** 22-2285358

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| acounting fees | 98,393 | 73,795 | | 24,598 |
| Bookkeeping | 15,000 | 11,250 | | 3,750 |

# TY 2016 Investments Corporate Bonds Schedule

**Name:** The Garfield Foundation
c/o Baldwin brothers
**EIN:** 22-2285358

| Name of Bond | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| corporate bonds | 444,325 | 502,485 |

| efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93491286004018 |
|---|---|---|

# TY 2016 Investments Corporate Stock Schedule

**Name:** The Garfield Foundation
c/o Baldwin brothers
**EIN:** 22-2285358

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| Corporate stocks | 19,871,973 | 28,557,672 |
| Preferred Stocks | 726,083 | 788,700 |
| Private equity - Marlette funding | 150,600 | 150,600 |
| Equity fund | 300,000 | 345,519 |

# TY 2016 Investments - Other Schedule

**Name:** The Garfield Foundation
c/o Baldwin brothers

**EIN:** 22-2285358

| Category/ Item | Listed at Cost or FMV | Book Value | End of Year Fair Market Value |
|---|---|---|---|
| warrants & right | AT COST | 460 | 0 |
| Partnership Investments | AT COST | 3,223,866 | 3,530,696 |
| Mutual Bond Fund | AT COST | 1,995,554 | 1,971,838 |

# TY 2016 Legal Fees Schedule

**Name:** The Garfield Foundation
c/o Baldwin brothers
**EIN:** 22-2285358

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| legal fees | 15,094 | 11,321 | | 3,374 |

# TY 2016 Other Assets Schedule

**Name:** The Garfield Foundation
c/o Baldwin brothers
**EIN:** 22-2285358

## Other Assets Schedule

| Description | Beginning of Year - Book Value | End of Year - Book Value | End of Year - Fair Market Value |
|---|---|---|---|
| Security Deposit | 6,000 | 4,500 | 4,500 |

# TY 2016 Other Decreases Schedule

**Name:** The Garfield Foundation
c/o Baldwin brothers

**EIN:** 22-2285358

| Description | Amount |
|---|---|
| accounting adjustment | 901 |

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93491286004018

# TY 2016 Other Expenses Schedule

**Name:** The Garfield Foundation
c/o Baldwin brothers

**EIN:** 22-2285358

## Other Expenses Schedule

| Description | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| CA State filing fees | 882 | 0 | | 882 |
| Ma State filing fees | 1,410 | 0 | | 1,410 |
| NJ State Filing Fees | 136 | 0 | | 136 |
| CO State filing fees | 10 | 0 | | 10 |
| CA CT Representation Fees | 703 | 0 | | 703 |
| Re-Amp Expenses | 5,260 | 0 | | 5,260 |
| Colaborative Networks | 422,080 | 0 | | 422,080 |
| Organization planning & Monitors | 8,253 | 0 | | 8,253 |
| Insurance | 9,063 | 0 | | 9,063 |
| Education expenses | 323 | 0 | | 323 |

## Other Expenses Schedule

| Description | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| Bank Fees | 788 | 0 | | 788 |
| Dues & subscriptions | 10,000 | 0 | | 10,000 |
| Investment Interest expenses - passthru | 0 | 6,861 | | 0 |
| Portfolio expenses - passthru | 0 | 85,230 | | 0 |
| Other portfolio deduction - passthru | 0 | 63,179 | | 0 |

# TY 2016 Other Income Schedule

**Name:** The Garfield Foundation
c/o Baldwin brothers
**EIN:** 22-2285358

## Other Income Schedule

| Description | Revenue And Expenses Per Books | Net Investment Income | Adjusted Net Income |
|---|---|---|---|
| Litigation income | 10,525 | 10,525 | 10,525 |
| Misc Income | 2,141 | | 2,141 |

# TY 2016 Other Liabilities Schedule

**Name:** The Garfield Foundation
c/o Baldwin brothers

**EIN:** 22-2285358

| Description | Beginning of Year - Book Value | End of Year - Book Value |
|---|---|---|
| deferred excise taxes | 123,000 | 123,000 |

# TY 2016 Other Professional Fees Schedule

**Name:** The Garfield Foundation
c/o Baldwin brothers
**EIN:** 22-2285358

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| Investment management fees | 180,365 | 180,365 | | 0 |
| consulting fees | 66,866 | 0 | | 66,866 |
| payroll fees | 327 | 0 | | 327 |

# TY 2016 Taxes Schedule

**Name:** The Garfield Foundation
c/o Baldwin brothers
**EIN:** 22-2285358

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| payroll taxes | 55,501 | 0 | | 55,501 |
| Foreign Taxes | 5,439 | 5,439 | | 0 |
| NY UBI taxes | 800 | 800 | | 0 |
| K-1 withhold taxes | 0 | 363 | | 0 |
| K-1 Foreign taxes | 0 | 4,710 | | 0 |

**Schedule B**
**(Form 990, 990-EZ, or 990-PF)**
Department of the Treasury
Internal Revenue Service

# Schedule of Contributors

▶ Attach to Form 990, 990-EZ, or 990-PF
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at *www irs gov/form990*

OMB No 1545-0047

**2016**

| Name of the organization | Employer identification number |
|---|---|
| The Garfield Foundation<br>c/o Baldwin brothers | 22-2285358 |

**Organization type** (check one)

**Filers of:** **Section:**

Form 990 or 990-EZ
- ☐ 501(c)( ) (enter number) organization
- ☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
- ☐ 527 political organization

Form 990-PF
- ☑ 501(c)(3) exempt private foundation
- ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
- ☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule.**
**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule See instructions

**General Rule**

☑ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling $5,000 or more (in money or other property) from any one contributor Complete Parts I and II See instructions for determining a contributor's total contributions

**Special Rules**

☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** $5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1 Complete Parts I and II

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals Complete Parts I, II, and III

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc , purposes, but no such contributions totaled more than $1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc , purpose Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc , contributions totaling $5,000 or more during the year . . . . . . . . . . ▶ $ ____________

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)

| Name of organization | Employer identification number |
|---|---|
| The Garfield Foundation<br>c/o Baldwin brothers | 22-2285358 |

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

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
|---|---|---|---|
| 1 | Muriel Reisner CRAT<br>50 Millstone Raod<br>East Windsar, NJ08520 | $ 9,359 | Person ☑<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| - | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| - | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| - | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| - | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| - | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |

| Name of organization | Employer identification number |
|---|---|
| The Garfield Foundation<br>c/o Baldwin brothers | 22-2285358 |

**Part II** **Noncash Property**

(see instructions) Use duplicate copies of Part II if additional space is needed

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

**Name of organization**
The Garfield Foundation
c/o Baldwin brothers

**Employer identification number**
22-2285358

**Part III** ***Exclusively*** **religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than $1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of $1,000 or less for the year. (Enter this information once. See instructions.)** ▶ **$** ____________
Use duplicate copies of Part III if additional space is needed

| (a) No.from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No.from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No.from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No.from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |
|---|---|
| | |