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Form **990-PF**

Return of Private Foundation

OMB No 1545-0052

2017

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

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.
- Go to www.irs.gov/Form990PF for instructions and the latest information.

For calendar year 2017 or tax year beginning

, and ending

Name of foundation

The Charles A Dana Foundation, Incorporated

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

505 Fifth Avenue

Room/suite

6th Fl

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

New York

NY

10017

Foreign country name

Foreign province/state/county

Foreign postal code

A Employer identification number

06-6036761

B Telephone number (see instructions)

212-223-4040

C If exemption application is pending, check here ☐

D 1 Foreign organizations, check here ☐

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

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

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

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

H Check type of organization ☒ Section 501(c)(3) exempt private foundation

☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ☐ Accounting method ☐ Cash ☒ Accrual
☐ Other (specify) _____
line 16) ☐ \$ 238,861,878 (Part I, column (d) must be on cash basis)

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

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received (attach schedule)				
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	500,929	514,395		
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10				
b Gross sales price for all assets on line 6a				
7 Capital gain net income (from Part IV, line 2)				
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) <i>Statement 1</i>	9,210,851	9,821,219		
12 Total. Add lines 1 through 11	9,711,780	10,335,614	0	
13 Compensation of officers, directors, trustees, etc	993,155	236,577		685,174
14 Other employee salaries and wages	1,370,250	126,184		1,310,066
15 Pension plans, employee benefits	1,091,934	114,439		752,288
16a Legal fees (attach schedule) <i>Statement 1a</i>	6,493			5,255
b Accounting fees (attach schedule) <i>Statement 1a</i>	57,491	43,118		15,973
c Other professional fees (attach schedule) <i>Statement 1a</i>	964,189	560,853		413,475
17 Interest				
18 Taxes (attach schedule) (see instructions) <i>Statement 2</i>	110,407			
19 Depreciation (attach schedule) and depletion <i>Statement 3</i>	39,874	3,987		
20 Occupancy	820,898	205,225		662,305
21 Travel, conferences, and meetings	52,980			50,322
22 Printing and publications	437,403			407,994
23 Other expenses (attach schedule) <i>Statement 4</i>	267,355	42,103		200,737
24 Total operating and administrative expenses. Add lines 13 through 23	6,212,429	1,332,486	0	4,503,589
25 Contributions, gifts, grants paid	8,609,133			8,559,758
26 Total expenses and disbursements. Add lines 24 and 25	14,821,562	1,332,486	0	13,063,347
27 Subtract line 26 from line 12				
a Excess of revenue over expenses and disbursements	-5,109,782			
b Net investment income (if negative, enter -0-)		9,003,128		
c Adjusted net income (if negative, enter -0-)			0	

For Paperwork Reduction Act Notice, see instructions.

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Form 990-PF (2017)

SCANNED DEC 13 2018

Operating and Administrative Expenses

Revenue

HTA

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	12,896,855	18,023,719	18,023,719
	2	Savings and temporary cash investments			
	3	Accounts receivable ▶ 8,172			
		Less allowance for doubtful accounts ▶	7,262	8,172	8,172
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule) <i>Statement 5</i>	34,228,376	33,207,641	33,207,641
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment basis ▶			
Liabilities		Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule) <i>Statement 6</i>	173,475,539	187,039,890	187,039,890
	14	Land, buildings, and equipment basis ▶ <i>Statement 7</i> 410,438			
		Less accumulated depreciation (attach schedule) ▶ 274,112	176,200	136,326	136,326
	15	Other assets (describe ▶ <i>See Attached Statement 8</i>)	470,018	446,130	446,130
	16	Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	221,254,250	238,861,878	238,861,878
	17	Accounts payable and accrued expenses	293,419	348,195	
	18	Grants payable	4,928,250	4,977,625	
	19	Deferred revenue			
Net Assets or Fund Balances	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ <i>See Attached Statement</i>)	4,688,927	5,375,438	
	23	Total liabilities (add lines 17 through 22)	9,910,596	10,701,258	
		Foundations that follow SFAS 117, check here ▶ ☒ and complete lines 24 through 26, and lines 30 and 31.			
	24	Unrestricted	211,343,654	228,160,620	
	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			
	28	Paid-in or capital surplus, or land, bldg, and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	Total net assets or fund balances (see instructions)	211,343,654	228,160,620	
	31	Total liabilities and net assets/fund balances (see instructions)	221,254,250	238,861,878	

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	211,343,654
2	Enter amount from Part I, line 27a	2	-5,109,782
3	Other increases not included in line 2 (itemize) ▶ <u>Change in Net Unrealized Appreciation in Investment</u>	3	22,426,748
4	Add lines 1, 2, and 3	4	228,660,620
5	Decreases not included in line 2 (itemize) ▶ <u>Change in Deferred Excise Taxes</u>	5	500,000
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	228,160,620

Part IV Capital Gains and Losses for Tax on Investment Income

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

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

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

(i) FM 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			
b			
c			
d			
e			

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

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

If "Yes," the foundation doesn't qualify under section 4940(e) Do not complete this part

(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))
2016	13,029,603	216,565,306	0.060165
2015	13,912,556	228,202,799	0.060966
2014	13,521,619	238,840,561	0.056614
2013	14,403,590	232,737,644	0.061888
2012	21,012,269	228,781,996	0.091844

2	Total of line 1, column (d)	2	0.331477
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5.0, or by the number of years the foundation has been in existence if less than 5 years	3	0.066295
4	Enter the net value of noncharitable-use assets for 2017 from Part X, line 5	4	226,120,434
5	Multiply line 4 by line 3	5	14,990,654
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	90,031
7	Add lines 5 and 6	7	15,080,685
8	Enter qualifying distributions from Part XII, line 4 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	8	13,063,347

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)			
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b	1	180,063	
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	180,063	
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-)	4		
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	180,063	
6	Credits/Payments			
a	2017 estimated tax payments and 2016 overpayment credited to 2017	6a	236,143	
b	Exempt foreign organizations—tax withheld at source	6b		
c	Tax paid with application for extension of time to file (Form 8868)	6c		
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments. Add lines 6a through 6d	7	236,143	
8	Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	0	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	56,080	
11	Enter the amount of line 10 to be Credited to 2018 estimated tax ☐ 56,080 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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition. If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ☐ \$ _____ (2) On foundation managers ☐ \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ☐ \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	X	
b If "Yes," has it filed a tax return on Form 990-T for this year?	X	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by <i>General Instruction T</i>		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered. See instructions ☐ CT, MD, NY		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by <i>General Instruction G</i> ? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2017 or the tax year beginning in 2017? See the instructions for Part XIV. If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule See instructions Statement 11	Yes	No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement See instructions		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address www.dana.org	X	
14	The books are in care of Burton M. Mirsky Telephone no 212 223 4040 Located at 505 Fifth Avenue, 6th Floor New York NY ZIP+4 10017		
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		
16	At any time during calendar year 2017, 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? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country 	Yes	No
		16	X

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

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

1a	During the year, did the foundation (either directly or indirectly)	Yes	No
(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 Organizations relying on a current notice regarding disaster assistance, check here 	1b	X
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 2017?	1c	X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a	At the end of tax year 2017, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2017? If "Yes," list the years 20 , 20 , 20 , 20	☐ Yes ☒ No	
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.)	2b	N/A
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 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 2017 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 2017.)	3b	N/A
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2017?	4b	X

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

- 5a** During the year, did the foundation pay or incur any amount to
- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
- (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 ☐ Yes ☒ No
- 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? ☐ Yes ☒ No
- If "Yes" to 6b, file Form 8870
- 7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No
- b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ Yes ☒ No

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1 List all officers, directors, trustees, and 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
Statement 13		993,155	141,414	

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
Statement 14		652,875	241,651	
	00	0		
	00	0		
	00	0		
	00	0		
	00	0		

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

6

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
Cambridge Assoc 125 High Street, Boston, MA 02110-2112	Investment Advice	135,919
Guy McKhann, M.D. 3400 North Charles St, Baltimore, MD 21228	Health Program Consultant	230,679
Eagle Management Advisors 700 Commodore Court, Unit 2728, Philadelphia, PA 19146	Investment Management	142,504
Wellington Trust Company 280 Congress Street, Boston, MA 02210	Investment Management	69,758
Silchester Intl Investors, Inc. 780 Third Avenue, NY, NY 10017	Investment Management	133,723
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 Statement 15- Total Expenses - \$6,102,022	
12-1 Grants	2,423,438
2	
12-2 Outreach- Communications	1,057,341
3	
12-3 Outreach- Website	2,043,957
4	
12-4 Outreach- Publications	577,286

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 None	
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	36,599,354
b	Average of monthly cash balances	1b	14,109,531
c	Fair market value of all other assets (see instructions)	1c	178,855,007
d	Total (add lines 1a, b, and c)	1d	229,563,892
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	229,563,892
4	Cash deemed held for charitable activities. Enter 1½ % of line 3 (for greater amount, see instructions)	4	3,443,458
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	226,120,434
6	Minimum investment return. Enter 5% of line 5	6	11,306,022

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	11,306,022
2a	Tax on investment income for 2017 from Part VI, line 5	2a	180,063
b	Income tax for 2017 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	180,063
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	11,125,959
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	11,125,959
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	11,125,959

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	13,063,347
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	13,063,347
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	13,063,347

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 2016	(c) 2016	(d) 2017
1 Distributable amount for 2017 from Part XI, line 7				11,125,959
2 Undistributed income, if any, as of the end of 2017				
a Enter amount for 2016 only			0	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2017				
a From 2012 9,741,520				
b From 2013 3,065,586				
c From 2014 1,921,247				
d From 2015 2,809,543				
e From 2016 2,405,195				
f Total of lines 3a through e	19,943,091			
4 Qualifying distributions for 2017 from Part XII, line 4 ▶ \$ 13,063,347				
a Applied to 2016, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions)				
c Treated as distributions out of corpus (Election required—see instructions)				
d Applied to 2017 distributable amount				11,125,959
e Remaining amount distributed out of corpus	1,937,388			
5 Excess distributions carryover applied to 2017 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	21,880,479			
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				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2016 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2017 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2018				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)				
8 Excess distributions carryover from 2012 not applied on line 5 or line 7 (see instructions)	9,741,520			
9 Excess distributions carryover to 2018. Subtract lines 7 and 8 from line 6a	12,138,959			
10 Analysis of line 9				
a Excess from 2013 3,065,586				
b Excess from 2014 1,921,247				
c Excess from 2015 2,809,543				
d Excess from 2016 2,405,195				
e Excess from 2017 1,937,388				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year see attached Statement 17				8,609,133
Total				8,609,133
b Approved for future payment				
Total				0

The Charles A Dana Foundation, Incorporated
Form 990PF
06-6036761
2017 Partnership/Trust Income
Part 1 Line 11

Statement 1

		Column (b)			
			Net Investment		
			Income		Taxable
			Net of UBTI		Income
	Column (a)				
	Income Per Books	Per Actual K-1	UBTI		Per K-1
	Ein #				
Knightsbridge Venture Capital	20-1463725	\$303,785	\$320,978	-\$31	\$320,947
Abbott Capital Fund IV	36-7045759	\$533,463	419,511	24,374	\$443,885
Abbott Capital Fund V	20-2896577	\$320,228	256,706	9,896	\$266,602
Abbott Capital Fund VI	26-2293853	\$706,637	598,015	0	\$598,015
Sovereign New Millennium	84-1460377	-\$6,725	-2,259	0	-\$2,259
Adamas Opportunities L.P. (1 Yr)	04-3514360	\$145,083	42,568	15,718	\$58,286
Adamas Opportunities L.P. (3 Yr)	04-3514360		51,639	16,512	\$68,151
Adamas Partners L.P.	04-3514358	\$180,209	159,874	0	\$159,874
Davidson Kempner	13-3597020	\$526,757	530,097	-3,340	\$526,757
TIFF Partners III L.P.	58-2426874	\$16,606	12,675	-168	\$12,507
TIFF Partners IV L.P.	54-2007544	\$39,334	-27,541	-16	-\$27,557
Oak Hill Capital Partners Bermuda	52-2265365	-\$43	-43	0	-\$43
Oak Hill Capital Partners	22-3624482	\$0	0	0	\$0
Silchester	36-7045759	\$1,026,415	1,026,415	0	\$1,026,415
TIFF Secondary Partners (TSP) TIFF I	56-2384583	\$33,709	34,915	0	34,915
Hintz , Holman & Rubillard - Jubilee Tax Exempt	13-4036300	\$0	0	0	0
Commonfund Private Equity-VI	16-1720029	\$220,267	232,267	-12,000	220,267
Commonfund Private Equity- VII	20-8306306	\$528,109	484,281	43,828	528,109
Commonfund International Private Equity VI	20-8306365	\$651,392	644,184	7,208	651,392
Commonfund Capital Venture Partners VIII	11-3814030	\$229,250	230,033	-783	229,250
Brandywine Global Opportunistic Absolute Return	46-1858165	\$113,143	113,143		113,143
Adage Capital	04-3574590	\$2,815,111	2,815,111		2,815,111
Forester Capital-B	13-4079780	\$401,970	320,572	95,905	416,477
1607 Capital Partners	26-1761983	\$725,785	1,393,151		1,393,151
Aberdeen Real Assets (Flag Real Assets)	20-8736989	\$73,542	32,620	12,904	45,524
Newport Asia	06-6036761	\$119,567	119,567		119,567
Commonfund Capital Natl Resources Partners IX	37-1656529	-\$71,253	-29,513	-41,740	-71,253
Harvest MLP Inc Fund LLC	27-2968896	-\$228,815	-54,240	-174,575	-228,815
Wellington CTFt Emerging Mkt Opp	44-1454454	\$614,876	614,876		614,876
Dover Street		\$0	13,466		13,466
TrueBridge		\$0	0		
Encap Flatrock Midstream V		\$0	0		
Partnership Income		\$10,018,402	\$10,353,068	-\$6,308	\$10,346,760
Other Capital Losses		-\$620,239			
P/Y True up K-1 to Books (reported on 2016 Tax Return)		-\$187,312			
C/Y True up K-1 to Books (reported on 2017 Tax Return)					
Total Per Line 11 column a		\$9,210,851	\$10,353,068		
Capital Gain			\$8,310,165		
Ordinary Income			\$2,042,903		
Total Partnership Income			\$10,353,068		
Other Capital Losses			-\$620,239		
Capital Gains not Reported on Financial Statement			\$88,390		
Total Line 11 column b			\$9,821,219		

Statement 1a

Part I, Line 11 (990-PF) - Other Income

		9,210,851	9,821,219	0
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income
1	Partnership Income-ordinary	1,104,919	2,042,903	
2	Partnership Income-capital gain	8,913,483	8,310,165	
3	Capital Gains (Losses)-other	-620,239	-620,239	
4	Adj. to K-1 Inc- see Statement 1a- Inc per Final 2016 K-1's	-187,312	0	
5	Capital Gain Sales not reported on Financial Statement		88,390	

Part I, Line 16a (990-PF) - Legal Fees

		6,493	0	0	5,255
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	Epstein Becker, Green	1,190			1,190
2	Robinson and Cole	5,303			4,065

Part I, Line 16b (990-PF) - Accounting Fees

		57,491	43,118	0	15,973
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	O'Connor Davies et al	53,528	43,118		12,010
2	Preferred Pension	3,963			3,963

Part I, Line 16c (990-PF) - Other Professional Fees

		964,189	560,853	0	413,475
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	Dr Mckhann	230,679			230,679
2	Dr Blakemore	50,000			50,000
3	Dr Magistetti	35,000			35,000
4	Dr Irani	10,000			10,000
5	Misc	8,862			8,862
6	Honoraria and Reviews- Less Than \$5,000	21,295			21,295
7	Dr Treisman	12,500			12,500
8	Dr Albert	25,000			25,000
9	Cambridge Assoc	135,919	135,919		0
10	Silchester	133,723	133,723		0
11	Wellington	69,758	69,758		0
12	Eagle Management Advisors	142,504	142,504		0
13	BrandyWine Fund	47,665	47,665		0
14	JP Morgan Chase	14,142	14,142		0
15	Dr Boatman	10,000			10,000
16	First Republic	17,142	17,142		0
17	Cash to Accrual Adj	0			10,139

Statement 2

Part I, Line 18 (990-PF) - Taxes

		110,407	0	0	0
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	US Excise Tax	178,857			0
2	US UBT	-12807			
3	NYS Tax	-55643			

Statement 3

Part I, Line 19 (990-PF) - Depreciation and Depletion

		39,874		3,987		0			
Description		Date Acquired	Method of Computation	Asset Life	Cost or Other Basis	Beginning Accumulated Depreciation	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income
1	Leasehold Improvements NYO	various	various	various	410,438	234,238	39,874	3,987	0

Statement 4

Part I, Line 23 (990-PF) - Other Expenses

		267,355	42,103	0	200,737
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	Insurance	67,809	10,171		57,638
2	Computers	123,212	18,483		104,729
3	Dues/Subscription	5,692	854		4,838
4	Filing Fees	4,393	2,659		1,734
5	Prof Devel	13,443	2,016		11,427
6	Office Expense	26,076	3,911		22,165
7	Miscellaneous	6,556	983		5,573
8	Telephone-Fax-Copier	20,174	3,026		17,148
9	Cash to accrual adjustment	0	0		-24,515

Charles A Dana Foundation
Form 990 PF-Part II
06-6036761
Year 2017

Statement 5

	Line	column a Book Value	column b Book Value	column c Fair Value
Corporate Stock	10b			
Equities- See Attached 5a		\$13,937,252	\$18,223,420	\$18,223,420
Sub-total		<u>13,937,252</u>	<u>18,223,420</u>	<u>18,223,420</u>
Mutual Funds :				
Osterweis Strategic Income Fund		3,843,357	4,073,719	4,073,719
Vanguard Precious Metal & Mining Fund		4,193,181	4,769,739	4,769,739
Vanguard Energy Fund		6,137,904	0	0
Vanguard Short Term Treasury		6,116,682	6,140,763	6,140,763
Sub-total		<u>20,291,124</u>	<u>14,984,221</u>	<u>14,984,221</u>
Total Corporate and Mutual Funds Stock	10b	<u>\$34,228,376</u>	<u>\$33,207,641</u>	<u>\$33,207,641</u>

Statement 5a 1/2



FIRST REPUBLIC TRUST COMPANY
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ACCOUNT STATEMENT

PAGE 4

ACCOUNT NUMBER: XXXXXX1656

JANUARY 01, 2017 TO DECEMBER 31, 2017

INVESTMENT DETAIL

QUANTITY	DESCRIPTION	MARKET VALUE	YIELD TO MKT	COST BASIS
EQUITIES				
COMMON STOCK				
746.000	ALPHABET INC CAP STK CL C	780,614.40	0.00	251,914.49
550.000	ALPHABET INC CAP STK CL A	579,370.00	0.00	148,844.64
895.000	AMAZON.COM INC	1,046,675.65	0.00	263,771.86
1,300.000	ANADARKO PETROLEUM CORP PETROLEUM	69,732.00	0.37	102,902.93
16,300.000	BANK OF AMERICA CORP	481,176.00	1.63	284,863.69
4,300.000	BERKELEY W R CORP	308,095.00	0.78	97,727.98
8,025.000	BERKSHIRE HATHAWAY INC DEL CL B NEW	1,590,715.50	0.00	784,381.87
15,100.000	CITIGROUP INC COM	1,123,591.00	1.72	710,798.00
11,150.000	DISH NETWORK CORP CL A	532,412.50	4.19	546,101.25
4,600.000	ECOLAB INC COM	617,228.00	1.22	170,324.00
2,200.000	FIDELITY NATIONAL INFO SVCS INC	206,998.00	1.23	132,006.82
14,600.000	GENERAL MOTORS CO	598,454.00	3.71	501,397.58
1,609.000	GOLDMAN SACHS GROUP INC	409,908.84	1.18	174,358.68
1,713.000	ILG INC	48,788.24	2.11	20,391.40
5,775.000	JPMORGAN CHASE & CO	617,578.50	2.09	340,928.34
4,390.000	LIBERTY TRIPADVISOR HLDGS INC CLASS A	41,375.75	0.00	35,815.82
6,355.000	MARRIOTT INTL INC CL A	862,564.15	0.97	430,079.17
15,900.000	MICROSOFT CORP	1,360,086.00	1.96	415,450.09
10,800.000	MONDELEZ INTL INC CLASS A	462,240.00	2.06	232,578.49
3,800.000	MORGAN STANLEY CO	199,386.00	1.81	49,464.98
8,800.000	NOBLE ENERGY INC	256,432.00	1.37	139,978.30
24,000.000	ORACLE CORP COM	1,134,720.00	1.61	744,611.71
✓ 1,575.000	PEPSICO INC	188,874.00	2.69	100,743.12
2,100.000	THERMO FISHER SCIENTIFIC INC	398,748.00	0.32	70,713.78



FIRST REPUBLIC TRUST COMPANY
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ACCOUNT STATEMENT

PAGE 5

ACCOUNT NUMBER: XXXXXX1656

JANUARY 01, 2017 TO DECEMBER 31, 2017

INVESTMENT DETAIL (CONTINUED)

QUANTITY	DESCRIPTION	MARKET VALUE	YIELD TO MKT	COST BASIS
COMMON STOCK				
7,500.000	TRIPADVISOR INC	258,450.00	0.00	262,326.51
21,300.000	TWENTY FIRST CENTY FOX INC CL B	726,756.00	1.06	658,201.13
4,055.000	UNITEDHEALTH GROUP INC	893,965.30	1.36	88,270.52
9,575.000	WELLS FARGO & CO NEW COM	580,915.25	2.57	522,002.05
TOTAL	COMMON STOCK	16,375,848.08	1.31	8,280,949.20
ADR - COMMON STOCK				
7,300.000	AON PLC SHS CL A	978,200.00	1.07	262,583.66
3,600.000	AERCAP HOLDINGS NV	189,396.00	0.00	187,176.96
TOTAL	ADR - COMMON STOCK	1,167,596.00	0.90	449,760.62
FOREIGN HELD EQUITIES				
17,798.000	LIBERTY GLOBAL PLC	602,284.32	0.00	288,742.10
3,009.000	LIBERTY GLOBAL PLC LILAC SHS CL C	59,849.01	0.00	53,509.74
TOTAL	FOREIGN HELD EQUITIES	662,133.33	0.00	342,251.84
TOTAL	EQUITIES	18,205,577.41	1.24	9,072,961.66

Black Light Power

Total

17843
18223420

The Charles A. Dana Foundation, Incorporated
Other Investments
Part II- Line 13
2017

06-6036761
Statement 6

	column (a) Net Book Value 1-Jan	column (b) Net Book Value 31-Dec	column (c) Fair Market Value 31-Dec
Adage Capital	\$26,780,058	\$33,161,996	\$33,161,996
Greenlight Capital Offshore	6,693,188	6,797,274	6,797,274
Davidson Kempner	12,898,811	13,776,180	13,776,180
King Street Capital	8,481,401	8,959,001	8,959,001
Adamas Opportunities L.P.	8,905,448	9,414,715	9,414,715
Adamas Partners L.P.	7,834,558	8,262,621	8,262,621
Forester Capital-B	6,595,363	5,689,925	5,689,925
Silchester	11,593,649	14,688,230	14,688,230
1607 Capital Partners	7,369,340	9,730,390	9,730,390
Newport Asia	6,311,319	8,901,884	8,901,884
Prince Street Opportunities	6,431,833	8,237,528	8,237,528
Prince Street Institutional Offshore Ltd	2,841,571	3,757,833	3,757,833
Abbott Capital Fund IV	1,453,477	864,891	864,891
Abbott Capital Fund V	1,820,861	1,391,363	1,391,363
Abbott Capital Fund VI	4,194,883	3,969,941	3,969,941
Commonfund Private Equity-VI	1,956,300	1,357,627	1,357,627
Commonfund Private Equity- VII	4,102,594	3,653,939	3,653,939
Commonfund International Partners VI	3,887,220	3,220,388	3,220,388
Commonfund Venture Partners VIII	5,481,492	5,018,924	5,018,924
Knightsbridge Venture Capital	3,456,153	3,030,452	3,030,452
Oak Hill Capital Partners-Bermuda	4,047	5,121	5,121
Oak Hill Capital Partners	13,639	5,137	5,137
TIFF Secondary Partners (TSP) TIFF I	62,859	4,306	4,306
TIFF Partners III L.P.	150,564	101,918	101,918
TIFF Partners IV L.P.	365,100	276,703	276,703
Aberdeen Real Assets (formerly Flag Real Assets)	1,601,918	1,280,679	1,280,679
Commonfund Capital Natural Resources IX	1,742,989	2,202,652	2,202,652
Harvest Fund MLP Income Fund	3,810,440	3,585,690	3,585,690
Brandywine Global Opportunistic Absolute Return	6,890,603	7,370,361	7,370,361
Wellington CTF Fund	5,648,955	8,108,075	8,108,075
Dover Street IX	101,769	429,458	429,458
Gold Bullion (Dana Publ)	8,684,969	9,784,706	9,784,706
Investment in Transit	5,290,340	0	0
Blacklight Power (Formerly Black Bear Offshore)	17,843	0	0
Rounding	-15	-18	-18
Total Other Investments	\$173,475,539	\$187,039,890	\$187,039,890

Statement 7

Part II, Line 14 (990-PF) - Land, Buildings, and Equipment

		410,438	234,238	274,112	176,200	136,326	136,326
Asset Description		Cost or Other Basis	Accumulated Depreciation Beg. of Year	Accumulated Depreciation End of Year	Book Value Beg. of Year	Book Value End of Year	FMV End of Year
1	Leasehold Improvements	410,438	234,238	274,112	176,200	136,326	136,326

Statement B

Part II, Line 15 (990-PF) - Other Assets

		470,018	446,130	446,130
		Book Value	Book Value	FMV End
		Beg of Year	End of Year	of Year
Asset Description				
1 Prepaid Expenses		122,312	130,113	130,113
2 Security Deposits		130,405	130,405	130,405
3 Prepaid Taxes		217,301	185,612	185,612

Statement 9

Part II, Line 22 (990-PF) - Other Liabilities

		4,688,927	5,375,438
		Beginning Balance	Ending Balance
1	Deferred Taxes	600,000	1,100,000
2	Deferred Rent	305,290	235,868
3	Postretirement Benefit Obligation	3,783,637	4,039,570

The Charles A. dana Foundation, Incorporated
Capital Gains and Losses Summary
Part 1 Line 11 Column a and b

06-6036761

Statement 10

Realized Gain/Loss Report

Description	Sold	Acquired	Proceeds	Cost	Gain/Loss
2900 SHARES OF MORGAN STANLEY CO	5/15/2017	7/25/2012	\$ 126,197.99	\$ 37,749.59	\$ 88,448.40
4900 SHARES OF MORGAN STANLEY CO	5/15/2017	8/7/2012	\$ 213,231.10	\$ 71,343.02	\$ 141,888.08
825 SHARES OF JPMORGAN CHASE & CO	6/12/2017	4/30/2015	\$ 71,809.98	\$ 52,179.60	\$ 19,630.38
45 SHARES OF AMAZON.COM INC	8/28/2017	11/5/2014	\$ 42,610.41	\$ 13,521.38	\$ 29,089.03
500 SHARES OF PEPSICO INC	12/15/2017	1/26/2011	\$ 59,558.57	\$ 32,961.30	\$ 26,597.27
1625 SHARES OF PEPSICO INC	12/15/2017	1/27/2011	\$ 193,565.37	\$ 106,693.28	\$ 86,872.09
500 SHARES OF PEPSICO INC	12/15/2017	12/28/2012	\$ 59,558.57	\$ 34,149.95	\$ 25,408.62
475 SHARES OF PEPSICO INC	12/29/2017	1/27/2011	\$ 57,040.29	\$ 31,187.26	\$ 25,853.03
1100 SHARES OF PEPSICO INC	12/29/2017	2/10/2011	\$ 132,093.31	\$ 69,555.86	\$ 62,537.45
TOTAL LONG TERM CAPITAL GAIN (LOSS)-Eagle Ming			\$ 955,665.59	\$ 449,341.24	\$ 506,324.35
Other Sales					
Vanguard Energy Admiral Fund					
Short Term		15-Nov various	\$ 114,260.52	\$ 134,394.98	\$ (20,134.46)
Long Term		15-Nov various	\$ 5,848,405.19	\$ 6,878,983.76	\$ (1,030,578.57)
Currency Losses					
Misc Gains			\$ 25,990.00	\$ 13,450.00	\$ (13,450.00)
Total per column b					\$ (531,848.68)
Less: Gains not reported on Financial Statement					\$ 88,390.48
Total per column a					(\$620,239.16)

THE CHARLES A. DANA FOUNDATION, INCORPORATED
EIN 06-6036761
2017
Statement 11

Part VII-A, Line 11: Statement of Information Regarding Ownership/Transfers to Controlled Entity

(A) Name of Controlled Entity:

Dana Alliance for Brain Initiatives, Inc

505 Fifth Avenue, 6th Fl

New York, New York 10017

(B) Employer EIN: 06-1360140

(C) Description of Transfer: Cash Grant paid during the year.

(D) Amount of Transfer: \$2,577,211

The Charles A. Dana Foundation, Incorporated Statement 12
ID No. 06-6036761

Year 2017

PART VII-B
Question 5c

FORM 990-PF

STATEMENT on EXPENDITURE RESPONSIBILITY

1. Grantee's name and address:

Dana Alliance for Brain Initiatives, Inc.
505 Fifth Avenue, 6th Fl
New York, New York 10017

2. Date and amount of grant.

Grants totaling \$2,577,211 were paid to Dana Alliance during 2017

3. Purpose of grant:

The purpose of the grants was to provide for the general support of Dana Alliance to enable it to carry out its charitable purposes.

4. As of December 31, 2017 the entire grant had been expended by Dana Alliance.

5. To the knowledge of the taxpayer, no portion of the funds contributed by Dana Foundation have been diverted by Dana Alliance from the purposes of the grant.

6. Dana Alliance provided Dana Foundation with a 2017 Annual Report in June 2018

The purpose of this statement is to satisfy the report-making requirements of Section 4945 (h) (3) of the Internal Revenue Code of 1986, as amended, regarding taxpayer expenditure responsibility.

The Charles A. Dana Foundation, Incorporated 06-6036761
2017

Part VIII Line 1
List of Officers and Directors

Statement 13

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Edward F. Rover 505 Fifth Avenue 6th Floor New York, N Y. 10017	Chm and Pres President/Director Hours - 26	\$637,574	\$67,443	\$0
Burton M Mirsky 505 Fifth Avenue 6th Floor New York, N Y. 10017	Exec. VP, Treasurer, and Asst Sect Hours- 26	266,732	62,240	0
Barbara E. Gill 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Exec. Vice President/ Asst Treasurer Hours- 3	34,849	8,231	0
LaSalle D. Lefall, Jr. MD 505 Fifth Avenue 6th Floor	Director Hours-2	6,000	0	0
Steven E. Hyman, MD 505 Fifth Avenue 6th Floor New York, N Y. 10017	Director Hours-2	6,000	335	0
Charles A. Dana III 505 Fifth Avenue 6th Floor New York, N Y. 10017	Director 2 Hours	6,000	335	0
Edward Bleier 505 Fifth Avenue 6th Floor New York, N Y. 10017	Director 2 Hours	6,000	875	0
Wallace Cook 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Secretary and Director 2 Hours	6,000	\$335	0
Hildegard Mahoney 505 Fifth Avenue 6th Floor	Director 2 Hours	6,000	0	0
Ann McLaughlin Korologos 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director 2 Hours	6,000	745	0
Herbert J. Siegel 505 Fifth Avenue 6th Floor New York, N Y. 10017	Director 2 Hours	6,000	875	0
Peter Nadosy 505 Fifth Avenue 6th Floor New York, N Y. 10017	Director 2 Hours	6,000	0	0
Grand Total		\$993,155	\$141,414	\$0

The Charles A Dana Foundation

06-6036761

Statement 13A

Year 2017

Compensation reported in the 2017 Form 990PF of The Dana Alliance For Brain Initiatives, Inc. for directors and officers who are also directors and officers of the The Charles A. Dana Foundation, Incorporated that also received Compensation from The Dana Alliance for Brain Initiatives, Inc is as follows:

Form 990-PF

List of Officers and Directors

Name and Address	Title/ Average Hours	Average Compensation	Employee Benefits	Expense Account
Edward F. Rover 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Chairman/President Director Hours - 9	\$212,525	\$22,481	\$0 \$0
Burton M Mirsky 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Secretary/Treasurer Hours- 9	88,911	20,746	0 0
Barbara E. Gill 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Vice President Hours- 32	313,637	74,085	0 0
LaSalle D. Leffall, Jr. MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	3,000	0	0 0
Steven E. Hyman, MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	3,000	0	0 0
Totals		\$621,073	\$117,312	\$0 \$0

The Charles A Dana Foundation

06-6036761

Statement 13A

Year 2017

Compensation reported in the 2017 Form 990PF of The Dana Alliance
For Brain Initiatives, Inc. for directors and officers who are also directors
and officers of the The Charles A. Dana Foundation, Incorporated
that also received Compensation from The Dana Alliance for Brain Initiatives,
is as follows:

Form 990-PF

List of Officers and Directors

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Edward F. Rover 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Chairman/President Director Hours - 9	\$212,525	\$22,481	\$0 \$0
Burton M. Mirsky 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Secretary/Treasurer Hours- 9	88,911	20,746	0 0
Barbara E. Gill 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Vice President Hours- 32	313,637	74,085	0 0
LaSalle D. Leffall, Jr. MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	3,000	0	0 0
Steven E. Hyman, MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director Hours-2	3,000	0	0 0
Totals		\$621,073	\$117,312	\$0 \$0

Certain of the individuals listed on Part VIII , line 2 also perform services for Dana Alliance for Brain Initiatives , Inc. (Alliance), EIN 06-1360140. Foundation exercises expenditure responsibility over Alliance. Compensation is paid by a common paymaster. Compensation information for these individuals for 2017 from Alliance is as follows:

Employee	Title/Hours	Compensation	Benefits	Other
Jim Rutt	Director, IT/ 9	\$30,000	\$12,261	\$0
Patricia Mangini	Director Human Resol	28,375	\$16,800	0
Brigida Gay	Controller/8	27,650	\$12,828	0
		<u>\$86,025</u>	<u>\$41,889</u>	<u>\$0</u>

The Charles A. Dana Foundation, Incorporated
06-6036761
2017

Statement 15

Form 990-PF, Part IX-A

Summary of Four Largest Direct Charitable Activities: **Total Expenses: \$6,102,022**

GRANTS: The Foundation administers the various programs that support research in science and health, through the specifically designed objectives established by the Foundation's Board of Directors. The Foundation's principal interest is in neuroscience, but also supports qualified civic and cultural organizations and maintains a matching charitable gifts program for its employees. The 2017 charitable gifts awarded and paid by the Foundation are listed in Statement 17

Expenses: \$2,423,438

OUTREACH—COMMUNICATIONS DEPARTMENT: The Foundation identifies media opportunities and facilitates news coverage of areas of interest to the Foundation. It also acts as an in-house resource for journalists for neuroscience information, providing background on topics and access to experts in the field. In 2017, the Foundation: (1) published four briefing papers and four grantee Q&A's, and recorded 11 Cerebrum author interview podcasts; (2) sent tailored Brain Awareness Week pitches to science, health, and education reporters; (3) wrote and distributed media advisories for the Successful Aging & Your Brain program; (4) wrote and distributed a media alert for the New York City Regional Brain Bee; and (5) maintained the online Expert Directory of Dana Alliance members, specifically for the media. The Foundation launched a new Brain Awareness Week sticker design contest open to people of all ages and around the globe. Prizes awarded to the top three winners were valued at less than \$600 total.

Expenses: \$1,057,341

Neuroscience Research Grants

The Foundation's current area of research emphasis is in neuroscience. Selected proposals have the potential to improve human health or functioning.

GENERAL POLICIES

The Foundation:

1. Supports programs in science and health through specifically defined objectives in each field.
2. Requires grantee institutions, in many cases, to share the cost of a project or raise matching funds.
3. Makes no grants directly to individuals.
4. Does not support annual operating costs of organizations, deficit reduction, capital campaigns, or individual sabbaticals.
5. Does not schedule meetings with applicants, other than by specific invitation initiated by the Foundation.

ACTIVE PROGRAMS

The David Mahoney Neuroimaging Program: Investigators use physiological and structural, cellular and molecular imaging techniques to pilot-test novel clinical hypotheses on the brain or interactions between brain and immune cells. Requests for Proposals (RFPs) are sent annually to deans of U.S. Medical Schools and other invited biomedical research institutions.

Clinical Neuroscience Research: Translational researchers apply to test promising therapies, from animal model research, in a small number of patients with devastating, currently untreatable, brain diseases. Also supported are studies to develop ethical guidelines for clinical brain research, and prognostic data based on treatment outcomes in patients with severe brain injuries or disorders.

<http://www.dana.org/Grants/Guide/>

MEMORANDUM

TO: U S MEDICAL SCHOOL DEANS AND PRESIDENTS OF
SELECTED BIOMEDICAL RESEARCH INSTITUTIONS

FROM: THE DANA FOUNDATION

SUBJECT: 2017 DAVID MAHONEY NEUROIMAGING PROGRAM REQUEST
FOR PROPOSALS (RFP)

DATE: 12/14/2016

Enclosed is the RFP for the Dana Foundation's David Mahoney Neuroimaging Program.

Since the AAMC no longer provides mailing labels for current academic chairpersons, we ask that your office forward this RFP to all relevant department chairs and to your office of sponsored research.

This RFP is also available on the Foundation's website, www.dana.org/grants.

Please note that this call for Neuroimaging proposals will be the Foundation's only RFP for 2017.

The Charles A. Dana Foundation Announces the 2017
David Mahoney Neuroimaging Program
REQUEST FOR PROPOSALS
Using Brain and Immune Imaging Innovations to Improve Human Health

PLEASE FORWARD TO ALL APPROPRIATE
DEPARTMENT CHAIRS AND SPONSORED RESEARCH OFFICES

Application Deadline: Monday, February 6th, 2017 at 3pm EST

The Dana Foundation's Neuroimaging research program focuses on improving human brain and brain-immune functioning to promote health, and prevent and treat disease. Funds support pilot-testing by investigators, who are early in their research careers, to enable them to pursue promising, high-risk, and innovative ideas that have a **direct** clinical application. The pilot data are anticipated to help increase competitiveness for seeking larger-scale support from other funders. Grant amounts for each study may be up to \$200,000 total, payable over three years. Applicants will be informed within eight weeks of the preliminary proposal deadline on whether they are invited to prepare full proposals. The first awards will be announced in September 2017. Subsequent award announcements will be made in December 2017.

The Program is designed to enable investigators to obtain pilot data more quickly than is possible through other funding processes. Please note that this will be The Dana Foundation's only proposal solicitation process this year, and selection will be extremely competitive. Below is a description of the program and application process.

This program, like all other Dana-supported research, is designed to improve human health. Investigations need to be applicable to **human** brain or brain-immune functioning or malfunctioning. To be considered for funding, submitted proposals should focus on imaging in patients or patient tissues, and healthy volunteers.

Applications for animal model studies of brain conditions or injuries will be considered only if they relate directly to humans but cannot yet feasibly be undertaken in humans, and are anticipated to be translated into human research following the three-year grant period. Such studies include research on:

- 1) normal brain anatomy and physiology in the animal model that can help to better understand the roles of cells and networks in specific cognitive functions and how these are altered by disease or injury; and
- 2) animal models of human diseases, either through transgenic methods or through naturally occurring or induced disease states that are directly related to the human condition. Specific criteria for animal model studies are listed in the section on Eligibility.

Previously funded studies under this Program have focused primarily on:

- 1) understanding normal brain functioning, how it is altered by disease or injury, and how it recovers or repairs;
- 2) assessing and improving diagnostic and therapeutic approaches; and
- 3) refining and advancing imaging technologies to address specific clinical questions.

In addition to these three general areas of continued interest, it is becoming increasingly apparent that neurodegenerative diseases, such as Alzheimer's and Parkinson's disease, and mental illnesses such as schizophrenia and depression start long before they are clinically evident. The Foundation, therefore, encourages studies that seek to understand developmental processes of disease, surrogate measures of early disease existence, and measures of disease progression.

The Foundation invites each institution to submit **one** preliminary application (see eligibility), using either or both:

- **Physiological and Structural imaging** - anatomical imaging of white or gray matter and measures of physiological functioning. These proposed studies should focus on patient-oriented clinical research;
- **Cellular/molecular imaging** - biochemical actions of specific brain cells, or their interactions with immune cells, which have direct clinical relevance to human health and disease. These studies may involve human tissues or animal models. Applications can involve the study of cells within neural circuits, using a combination of imaging and single cell electrical recording, if the techniques have already been developed.

Eligibility:

Each U.S. medical school dean, and the presidents of the few selected biomedical research institutions that have been invited by letter, may nominate **one applicant**. The applicant may use either physiological/structural or cellular imaging or both. To be considered under this Program, the application must be countersigned by the medical school dean or invited biomedical institute's president.

Investigators at institutions that are affiliated with a medical school are eligible to apply *only through their affiliated medical school*, by submitting an application to the medical school dean. Previous applicants are eligible to reapply through their dean's office (or biomedical research institutes' presidents' offices). Projects involving collaborations with NIH intramural researchers or industry scientists are acceptable.

Support is focused on faculty researchers who have demonstrated the potential for independent research careers who are at the assistant professor level, or in the first few years of their associate professor appointments. Post-doctoral fellows are not eligible to apply. Applications from junior investigators that are an extension of the work of a senior mentor, particularly if from the same institution, are discouraged.

Funding of up to \$200,000 payable over three years is provided for proposed neuroimaging studies undertaken by promising early career investigators who have not yet been awarded more than one independent research grant (R01 from the NIH or equivalent from another Federal agency).

The Foundation does **not** provide support for indirect costs. However, up to 10 percent of the total grant award may be used to purchase equipment for the study. The balance is to be used to meet direct research costs. Research that can be supported through clinical income should not be submitted. Studies should be designed to obtain meaningful data within the grant award period of up to three years.

All applicants please note:

- All proposals that seek to develop new imaging techniques or assays, or modify existing ones to address clinical questions—whether in structural/physiological or cellular/molecular imaging—*must provide preliminary evidence of feasibility and evidence of the investigator's experience in using the technology*. Proposals seeking support without such preliminary evidence will not be considered.
- Investigators proposing patient-oriented studies should provide preliminary evidence that the required number of participants—patients and controls—are available at involved research institution(s).
- *For all proposals that do not propose to undertake studies in humans or human tissue*, the direct relevance to human health and functioning needs to be explicitly stated. These proposed studies will only be considered if they are designed to:
 - 1) pose a specific question concerning the disease process that is directly related to known aspects of brain pathology seen in the human;
 - 2) alter a factor in a healthy animal for which there is some evidence of the factor's involvement in a human disease process (as opposed to altering a factor in a healthy animal to see if the result resembles a human brain disease); and
 - 3) be translated into studies in the human following the three-year grant period.
- Certain areas are not appropriate for consideration:
 - 1) Ideas for which you do not have preliminary data;
 - 2) Instrument development without initial evidence of feasibility and clinical applicability.
- Descriptions of all previously funded studies are available at: <http://www.dana.org/grants/imaging/>

Applying:

Once selected by the Dean or President, the applicant should register an account and submit a preliminary application in its entirety via the Foundation's online proposal website¹. You may register an account at any time, but the Neuroimaging application will only be available from Monday, January 23, at 3pm EST to Monday, February 6, at 3pm EST. The applicant must complete all requested information at the site and upload the necessary documentation to be able to submit the preliminary proposal.

The proposal should be formatted using 11-point font, 0.5 inch margins in all directions with numbered pages. Applications using a smaller font size will not be reviewed. Please prepare a single PDF document for online submission in accordance with the following directions:

1) Cover Page:

a. Principal Investigator information:

- i. Project title;
- ii. Principal investigator(s) name(s) and degree(s);
- iii. Title(s);
- iv. Phone and fax numbers;
- v. E-mail; and
- vi. Street address(es).

b. Indicate the imaging category (structural/physiological or cellular/molecular, or a combination of both) and, specify the imaging technique(s) to be used (such as fMRI, two-photon, etc.).

c. In addition, provide names and full contact information of the sponsored research officer and the school Dean or institution President endorsing the application.

2) Dean's Letter: A letter from the school Dean or institutional President endorsing the application on behalf of the institution.

3) The following five sections should total no more than two pages (including figures).

- a. Section I: A clearly and succinctly stated hypothesis.
- b. Section II: The aims of the proposed research project. What disease(s), disorder(s) or injuries would be better understood, diagnosed, or treated? Or, what normal brain function or brain-immune interaction would be better understood? Or, what imaging technology would be refined and for what specific purposes? Such technology development or modification aims need to be accompanied by initial evidence of the project's feasibility.
- c. Section III: The research significance and potential clinical application(s) of the research.
- d. Section IV: The methods. Please clearly describe the research design and specify tests and analyses proposed to develop the pilot data. *If enrollment of human participants is planned, please provide preliminary evidence that the number required can be recruited from the participating institution(s)*
- e. Section V: The qualifications of the primary investigator(s) for undertaking the proposed research. What facilities and resources at the applicant institution(s) would be used in the research? Please provide evidence that required technologies would be available for this project.

4) Appendix A: A list of all active grants and pending proposals by the applicant(s). *Please include an abstract that specifies the aims for any existing or pending grants from these sources of support that are related to, or could potentially overlap with, the proposed Dana study.*

5) Appendix B: Please provide a standard NIH format CV for the primary investigator(s).

6) Appendix C: You may include up to two additional pages to list relevant references. Please bold the name of the primary investigator(s) where it appears in the references.

7) Appendix D: Optional: High resolution photographs that support the methodology proposed.

¹ https://danafoundationforce.com/FGM_Portal_CommunitySignup?ln=en_US&UType=individual

Proposal Review and Notification of Grant Awards:

Preliminary proposals received by the February 6, 2017, 3pm EST deadline will be reviewed for further consideration. Late submissions will not be considered. Applicants will be informed within approximately eight weeks from the preliminary proposal submission deadline on whether or not they are being invited to prepare full proposals.

Grants will be awarded on a "rolling" basis, with the first group of approved studies to be announced in September 2017 and the second group to be announced in December 2017.

Please refer to the FAQ's section of the Dana Foundation website www.dana.org/grants for any questions you may have regarding the proposal process.

For questions and assistance about the online application process please contact:

Program Officer Kevin Aguirre by telephone at 1-212-401-1653, or via email at kaguirre@dana.org

Or

Salesforce Administrator Kenzie Novak by telephone at 1-212-401-1691, or via email at knovak@dana.org

Staff is unable to respond to inquiries regarding application content.

The Dana Foundation, founded in 1950, is a private philanthropic foundation with major program interests in science, health, and education. This RFP and other information about the Foundation's programs may be found on our web site at www.dana.org.

Quarterly Report January-December 2017	City	State	Unpaid during the Year (A)		Appropriated During Year (B)		All Adjustments (C)		Refunds (D)		Paid During Year €		Unpaid at the End of the Year	
			Payments Scheduled		Grant Amount		Amount		Amount		Amount		A+B+C-D-E=F	
Clinical Neuroscience Research			1,073,000.00		\$1,100,000.00		(\$93,727.74)		(\$43,727.74)		\$648,000.00		1,475,000.00	
	Brigham and Women's Hospital, Inc Zip/Postal Code 02116	MA	150,000.00										150,000.00	
	Duke University Medical Center Zip/Postal Code 27710	NC					(\$110.41)		(\$110.41)					
	Johns Hopkins University Zip/Postal Code 21201	MD			\$100,000.00								100,000.00	
	Massachusetts General Hospital Zip/Postal Code 02129	MA	50,000.00		\$50,000.00		(\$93,617.33)		(\$43,617.33)		\$50,000.00			
	Mass General Hospital/ Harvard Medical School Zip/Postal Code 02129	MA	50,000.00								\$50,000.00			
	New York Presbyterian Hospital Zip/Postal Code 10032	NY	300,000.00								\$150,000.00		150,000.00	
	New York University School of Medicine Zip/Postal Code 10016	NY			\$100,000.00								100,000.00	
	Rockefeller University Zip/Postal Code 10065	NY	100,000.00										100,000.00	
	Semel Institute for Neuroscience & Human Behavior Zip/Postal Code -	CA			\$150,000.00								150,000.00	
	Shriners Hospitals for Children Zip/Postal Code 33607	FL			\$200,000.00						\$100,000.00		100,000.00	
	Sunnybrook Research Institute Zip/Postal Code -	Ontario, Canada			\$200,000.00								200,000.00	
	University College London Zip/Postal Code -	England	125,000.00										125,000.00	
	University of California, Davis Zip/Postal Code 95616	CA	98,000.00								\$98,000.00			
	University of California, Irvine Zip/Postal Code 92717	CA	150,000.00								\$150,000.00			
Medicine	University of California, San Diego School of Medicine Zip/Postal Code 92093-9151	CA			\$100,000.00								100,000.00	
	University of Pennsylvania School of Medicine Zip/Postal Code 19104	PA	50,000.00								\$50,000.00			
	West Virginia University Zip/Postal Code 26104	PA			\$200,000.00								200,000.00	

Quarterly Report January-December 2017		City	State	Unpaid during the Year (A)		Appropriated During Year (B)		All Adjustments (C)		Refunds (D)		Paid During Year €		Unpaid at the End of the Year	
				Payments Scheduled		Grant Amount		Amount		Amount		Amount		A+B+C-D-E=F	
Director Grants	Zip/Postal Code 26505	Morgantown	WV			\$2,271,500.00						\$2,271,500.00			
	Alvin Alley American Dance Theatre					\$5,000 00						\$5,000 00			
	Zip/Postal Code 10019	Manhattan	NY			\$10,000 00						\$10,000 00			
	American Academy of Arts & Sciences					\$5,000 00						\$5,000 00			
	Zip/Postal Code 02138	Cambridge	MA			\$15,000 00						\$15,000.00			
	American Association for the Advancement of Science					\$50,000 00						\$50,000 00			
	Zip/Postal Code 20005	Washington	DC			\$5,000 00						\$5,000 00			
	American Red Cross (FL)	Riviera Beach	FL			\$45,000 00						\$45,000 00			
	Zip/Postal Code 33407					\$5,000 00						\$5,000 00			
	American Repertory Theater					\$5,000 00						\$5,000 00			
Association for Frontotemporal Degeneration	Zip/Postal Code 02138	Cambridge	MA			\$5,000 00						\$5,000 00			
	American School of Classical Studies at Athens					\$45,000 00						\$45,000 00			
	Zip/Postal Code 08540	Princeton	NJ			\$5,000 00						\$5,000 00			
	Anderson Ranch Arts Center					\$5,000 00						\$5,000 00			
	Zip/Postal Code 81615	Snowmass Village	CO			\$5,000 00						\$5,000 00			
	Association for Frontotemporal Degeneration					\$5,000 00						\$5,000 00			
	Zip/Postal Code 19087	Chesterbrook	PA			\$5,000.00						\$5,000 00			
	Basilica of the National Shrine of the Immaculate Conception					\$5,000 00						\$5,000 00			
	Zip/Postal Code 20017	Washington	DC			\$5,000 00						\$5,000 00			
	Bay Street Theater					\$5,000 00						\$5,000 00			
Breast Cancer Research Foundation, Inc	Zip/Postal Code 11963	Sag Harbor	NY			\$5,000 00						\$5,000 00			
	Bladder Cancer Advocacy Network					\$5,000 00						\$5,000 00			
	Zip/Postal Code 33480	Palm Beach	FL			\$5,000 00						\$5,000 00			
	Blair House Restoration Fund					\$30,000 00						\$30,000 00			
	Zip/Postal Code 20038-72080	Woburn	CT			\$10,000 00						\$10,000 00			
	Boys', Club of New York					\$115,000 00						\$115,000 00			
	Zip/Postal Code 10009	New York	NY												
	Boys & Girls Club of Palm Beach County														
	Zip/Postal Code 33407	Riviera Beach	FL												
	Breast Cancer Research Foundation, Inc														
	Zip/Postal Code 10036	Manhattan	NY												

Quarterly Report January-December 2017		City	State	Unpaid during the Year (A)	Appropriated During Year (B)	All Adjustments (C)	Refunds (D)	Paid During Year €	Unpaid at the End of the Year	
				Payments Scheduled	Grant Amount	Amount	Amount	Amount	A+B+C-D-E=F	
Bridgehampton Chamber Music Associates, Inc (formerly Bridgehampton Chamber Music Festival)		Manhattan	NY		\$5,000 00			\$5,000 00		
		Boston	MA		\$10,000 00			\$10,000 00		
		Greenwich	CT		\$40,000 00			\$40,000 00		
		New York	NY		\$25,000 00			\$25,000 00		
		Manhattan	NY		\$5,000 00			\$5,000 00		
		Manhattan	NY		\$10,000 00			\$10,000 00		
		Cold Spring Harbor	NY		\$5,000 00			\$5,000 00		
		Charleston	SC		\$25,000 00			\$25,000 00		
		Manhattan	NY		\$5,000 00			\$5,000 00		
		Manhattan	NY		\$10,000 00			\$10,000 00		
		Manhattan	NY		\$5,000 00			\$5,000 00		
		Chicago	IL		\$50,000 00			\$50,000 00		
		Brookline	MA		\$35,000 00			\$35,000 00		
		Palm Beach	FL		\$10,000 00			\$10,000 00		
		West Palm Beach	FL		\$10,000 00			\$10,000 00		
		Hanover	NH		\$5,000 00			\$5,000 00		
College of Charleston School of Business										
College of Physicians & Surgeons of Columbia University										
Columbia Business School										
Columbia University Medical Center										
Cristo Rey Network										
Dana-Farber Cancer Institute										
East Hampton Healthcare Foundation										

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			Payments Scheduled			Amount		Amount			
Zip/Postal Code 11937	East Hampton	NY									
ELEM/Youth in Distress in Israel											
Zip/Postal Code 10016	Manhattan	NY			\$4,000 00					\$4,000 00	
Exploring the Arts, Inc											
Zip/Postal Code 10036	Manhattan	NY			\$100,000 00					\$100,000 00	
Fordham University											
Zip/Postal Code 10023	Manhattan	NY			\$5,000 00					\$5,000 00	
Foundation Fighting Blindness											
Zip/Postal Code 21046	Columbia	MD			\$25,000 00					\$25,000 00	
Foundation Milanollo											
Zip/Postal Code -	Lausanne	Switzerland			\$5,000 00					\$5,000 00	
Friends Academy											
Zip/Postal Code 11560	Locust Valley	NY			\$5,000 00					\$5,000 00	
Fund for Johns Hopkins Medicine											
Zip/Postal Code 21205	Baltimore	MD			\$50,000 00					\$50,000 00	
Greenwich Academy											
Zip/Postal Code 06830	Greenwich	CT			\$25,000 00					\$25,000 00	
Guild Hall of East Hampton											
Zip/Postal Code 11937	East Hampton	NY			\$10,000 00					\$10,000 00	
Harlem Academy											
Zip/Postal Code 10026	Manhattan	NY			\$35,000 00					\$35,000 00	
Harvard Art Museum											
Zip/Postal Code 02138	Cambridge	MA			\$50,000 00					\$50,000 00	
Harvard Law School Fund											
Zip/Postal Code 02138	Cambridge	MA			\$5,000 00					\$5,000 00	
Harvard-Mahoney Neuroscience Institute											
Zip/Postal Code 02215	Boston	MA			\$10,000 00					\$10,000 00	
Harvard Scholars at Risk											
Zip/Postal Code 02138	Cambridge	MA			\$25,000 00					\$25,000 00	
Help Yourself Foundation											
Zip/Postal Code 12308	Schenectady	NY			\$5,000 00					\$5,000 00	
Hospice Foundation of Palm Beach County, Inc											
Zip/Postal Code 33480	Palm Beach	FL			\$110,000 00					\$110,000 00	
Howard University											
Zip/Postal Code 20059	Washington	DC			\$20,000 00					\$20,000 00	
Howard University Cancer Center											

Quarterly Report January-December 2017	City	State	Unpaid during the Year (A)	Appropriated During Year (B)	All Adjustments (C)	Refunds (D)	Paid During Year €		Unpaid at the End of the Year
							Amount	Amount	
Zip/Postal Code 20060 International Sephardic Education Foundation	Washington	DC		\$5,000 00			\$5,000 00		
Zip/Postal Code:10018 International Wome's Health Coalition	Manhattan	NY		\$15,000 00			\$15,000 00		
Zip/Postal Code 10001 International Yacht Restoration School	Manhattan	NY		\$20,000 00			\$20,000 00		
Zip/Postal Code.- Investigative Project of Terrorism Foundation	Newport	RI		\$5,000 00			\$5,000 00		
Zip/Postal Code 20015 Ivy Foundation of Washington D C	Washington	DC		\$5,000 00			\$5,000 00		
Zip/Postal Code 20040 Joan & Sanford I Weill Medical College of Cornell University	Washington	DC		\$5,000 00			\$5,000 00		
Zip/Postal Code 10021 Justice in Aging CA	Manhattan	NY		\$5,000 00			\$5,000 00		
Zip/Postal Code 90071 LaSalle D Leffall, Jr , M D Surgical Society Foundation	Los Angeles	CA		\$10,000 00			\$10,000 00		
Zip/Postal Code 20060 Light of Healing Hope Foundation	Washington	DC		\$2,500 00			\$2,500 00		
Zip/Postal Code 20007 Lincoln Center Theater	Washington	DC		\$6,000 00			\$6,000 00		
Zip/Postal Code 10023 Lyford Cay Foundation School	Manhattan	NY		\$10,000 00			\$10,000 00		
Zip/Postal Code 08543-5910 Martha Graham Dance Company	Lyford Cay	Bahamas		\$5,000 00			\$5,000 00		
Zip/Postal Code 10014 Marymount School of New York	Manhattan	NY		\$3,000 00			\$3,000 00		
Zip/Postal Code:10028 Massachusetts General Hospital	Manhattan	NY		\$19,000 00			\$19,000 00		
Zip/Postal Code 02129 Mayo Clinic	Boston	MA		\$25,000 00			\$25,000 00		
Zip/Postal Code 55905 Medical University of South Carolina Foundation	Rochester	MN		\$25,000 00			\$25,000 00		
Zip/Postal Code 29425 Metropolitan Opera Association	Charleston	SC		\$5,000 00			\$5,000 00		
Zip/Postal Code 10023	Manhattan	NY							

Quarterly Report January-December 2017	City	State	Unpaid during the Year (A)	Appropriated During Year (B)	All Adjustments (C)		Refunds (D)		Paid During Year €	Unpaid at the End of the Year
					Grant Amount	Amount	Amount	Amount		
Middle East Investment Initiative (MEII) Zip/Postal Code 20037	Washington	DC		\$35,000 00					\$35,000 00	
Museum of Modern Art Zip/Postal Code 10019	Manhattan	NY		\$5,000 00					\$5,000 00	
National Academy of Medicine Zip/Postal Code 20001	Washington	DC		\$10,000 00					\$10,000 00	
National Gallery of Art Zip/Postal Code 20565	Washington	DC		\$20,000 00					\$20,000 00	
National Minority Organ Tissue Transplant Zip/Postal Code 20060	Washington	DC		\$25,000 00					\$25,000 00	
New England Wild Flower Society Zip/Postal Code 01701	Framingham	MA		\$10,000 00					\$10,000 00	
New Jewish Home Zip/Postal Code 10025	Manhattan	NY		\$5,000 00					\$5,000 00	
Newport Hospital Foundation, Inc. Zip/Postal Code 02840	Newport	RI		\$10,000 00					\$10,000 00	
New York Presbyterian/Weill Cornell Medical Center Zip/Postal Code 10021	Manhattan	NY		\$5,000 00					\$5,000 00	
New York-Presbyterian Hospital Zip/Postal Code 10032	Manhattan	NY		\$10,000 00					\$10,000 00	
New York Stem Cell Foundation Zip/Postal Code 10019	Manhattan	NY		\$5,000 00					\$5,000 00	
Ophthalmology Research Foundation Zip/Postal Code 33136	Miami	FL		\$5,000 00					\$5,000 00	
Paley Center for Media Zip/Postal Code 10019	Manhattan	NY		\$6,000 00					\$6,000 00	
Palm Beach Civic Association Zip/Postal Code 33480	Palm Beach	FL		\$10,000 00					\$10,000 00	
Palm Beach Foundation, Inc Zip/Postal Code 33480	Palm Beach	FL		\$20,000 00					\$20,000 00	
Pardee Rand Graduate School Zip/Postal Code 90407	Santa Monica	CA		\$5,000.00					\$5,000 00	
Peconic Baykeeper, Inc Zip/Postal Code 19959	Quogue	NY		\$10,000 00					\$10,000 00	
Penland School of Crafts Zip/Postal Code 28765-0037	Penland	NC		\$10,000 00					\$10,000 00	
Preservation Society of Newport County Zip/Postal Code 02840	Newport	RI		\$10,000 00					\$10,000 00	

Quarterly Report January-December 2017	City	State	Unpaid during the Year (A)	Appropriated During Year (B)	All Adjustments (C)	Refunds (D)	Paid During Year €		Unpaid at the End of the Year
							Amount	Amount	
Priory in the United States of American of the Most Venerable Order of the Hospital of St John Zip/Postal Code 20036	Washington	DC		\$10,000 00			\$10,000 00		
Raymond K Kravis Center for the Performing Arts Zip/Postal Code 33401	West Palm Beach	FL		\$5,000 00			\$5,000 00		
Rockefeller University Zip/Postal Code 10021-6399	Manhattan	NY		\$10,000 00			\$10,000 00		
Ronald Reagan Presidential Foundation Zip/Postal Code 93065	Simi Valley	CA		\$10,000 00			\$10,000 00		
Ronen Foundation of America Zip/Postal Code 91302-4803	Calabasas	CA		\$5,000.00			\$5,000 00		
Rose Island Lighthouse Foundation Zip/Postal Code 02840	Newport	RI		\$25,000 00			\$25,000 00		
Rosemont College Zip/Postal Code 19010-1699	Rosemont	PA		\$15,000 00			\$15,000 00		
Roxbury Latin School Zip/Postal Code 02132	Boston	MA		\$25,000 00			\$25,000 00		
Sail Newport Zip/Postal Code 02840	Newport	RI		\$50,000 00			\$50,000 00		
Saint Luke Institute Zip/Postal Code 20903	Silver Spring	MD		\$5,000 00			\$5,000.00		
Skidmore College Zip/Postal Code 12866-1632	Saratoga Springs	NY		\$10,000 00			\$10,000.00		
Southampton Hospital Zip/Postal Code 11968-5090	Southampton	NY		\$11,000 00			\$11,000 00		
St Andrew's Preservation Foundation Zip/Postal Code 11969	Southampton	NY		\$6,000 00			\$6,000 00		
St. Bernard's School Zip/Postal Code 10029	Manhattan	NY		\$25,000 00			\$25,000 00		
St John's College Development and Alumni Relations Fund Zip/Postal Code 21297-3597	Baltimore	MD		\$5,000 00			\$5,000 00		
St Michael's Country Day School Zip/Postal Code.02840	Newport	RI		\$25,000 00			\$25,000 00		

Quarterly Report January-December 2017		City	State	Unpaid during the Year (A)	Appropriated During Year (B)	All Adjustments (C)	Refunds (D)	Paid During Year €	Unpaid at the End of the Year
				Payments Scheduled	Grant Amount	Amount	Amount	Amount	A+B+C-D-E=F
St Paul's School		Concord	NH		\$5,000 00			\$5,000 00	
Zip/Postal Code 03301									
St Thomas Choir School		Manhattan	NY		\$10,000 00			\$10,000 00	
Zip/Postal Code 10019-1406									
St Thomas More Play Group		Manhattan	NY		\$10,000 00			\$10,000 00	
Zip/Postal Code 10128									
Syracuse University, Newhouse School of Communications		Syracuse	NY		\$45,000 00			\$45,000 00	
Zip/Postal Code 132440-2100									
The Aspen Institute					\$35,000 00			\$35,000 00	
Zip/Postal Code 20037		Washington	DC		\$40,000 00			\$40,000 00	
The Brearley School		Manhattan	NY						
Zip/Postal Code 10028					\$10,000 00			\$10,000 00	
The Corning Museum of Glass									
Zip/Postal Code 14830-2253		South Corning	NY						
The Council on Foreign Relations					\$25,000 00			\$25,000 00	
Zip/Postal Code 10021		Manhattan	NY		\$3,000 00			\$3,000 00	
The Green Vale School									
Zip/Postal Code 11545		Glen Head	NY		\$5,000 00			\$5,000 00	
The Hotchkiss School									
Zip/Postal Code 06039-2141		Lakeville	CT		\$5,000 00			\$5,000 00	
The Lymphoma Foundation									
Zip/Postal Code 10128		Manhattan	NY		\$50,000 00			\$50,000 00	
The Nature Conservancy									
Zip/Postal Code 10001		Manhattan	NY		\$6,000 00			\$6,000 00	
The New York Historical Society									
Zip/Postal Code 10024-5194		Manhattan	NY		\$5,000 00			\$5,000 00	
The Preservation Foundation of Palm Beach					\$150,000 00			\$150,000 00	
Zip/Postal Code 33480		Palm Beach	FL						
The Reading Team, Inc									
Zip/Postal Code 10027		Manhattan	NY		\$20,000 00			\$20,000 00	
The Society of the Four Arts									
Zip/Postal Code 33480		Palm Beach	FL		\$25,000 00			\$25,000 00	
The Winsor School									
Zip/Postal Code 02215		Boston	MA		\$5,000 00			\$5,000 00	
Thurgood Marshall Center Trust, Inc									
Zip/Postal Code 20009		Washington	DC						

Quarterly Report January-December 2017	City	State	Unpaid during the Year (A)	Appropriated During Year (B)	All Adjustments (C)	Refunds (D)		Paid During Year €	Unpaid at the End of the Year
						Payments Scheduled	Grant Amount		
United Jewish Association/Federation of Jewish Philanthropies Zip/Postal Code 10022 United States Holocaust Memorial Museum Zip/Postal Code 10165-1099 University of Virginia Zip/Postal Code 22904 University of Virginia Fund Zip/Postal Code 22904 University of Virginia School of Law Zip/Postal Code 22903-1738 UrbanGlass Zip/Postal Code 11217 Washington National Cathedral Zip/Postal Code - Wyly Community Art Center Zip/Postal Code 81621 Year Up Zip/Postal Code 02110 EMPLOYEE GIFT MATCHING PROGRAM Bowdoin College Zip/Postal Code 04011 Brooklyn Animal Resources Coalition Zip/Postal Code.11249 Brooksville Education Foundation Zip/Postal Code 04617 Brooksville Free Public Library Zip/Postal Code 04617 Mesivta Yeshiva Rabbi Chaim Berlin Zip/Postal Code 11230 National Multiple Sclerosis Society- NYC & Southern NY Chapter Zip/Postal Code 10017 Peninsula Ambulance Corps Zip/Postal Code 04614	Manhattan	NY		\$25,000 00				\$25,000 00	A+B+C-D-E=F
	Manhattan	NY		\$5,000 00				\$5,000 00	
	Charlottesville	VA		\$20,000 00				\$20,000 00	
	Charlottesville	VA		\$5,000 00				\$5,000 00	
	Charlottesville	VA		\$25,000 00				\$25,000 00	
	Brooklyn	NY		\$10,000 00				\$10,000 00	
	Washington	DC		\$20,000 00				\$20,000 00	
	Basalt	CO		\$5,000 00				\$5,000 00	
	Boston	MA		\$10,000 00				\$10,000 00	
	Merepoint	ME		\$20,250.00				\$20,250.00	
	Brooklyn	NY		\$100 00				\$100 00	
	Brooklyn	NY		\$200 00				\$200 00	
	Brooksville	ME		\$1,000 00				\$1,000 00	
	Brooksville	ME		\$800 00				\$800 00	
	Brooklyn	NY		\$2,000 00				\$2,000 00	
Manhattan	NY		\$5,000 00				\$5,000 00		
Blue Hill	ME		\$800 00				\$800 00		

Quarterly Report January-December 2017	City	State	Unpaid during the Year (A)	Appropriated During Year (B)	All Adjustments (C)	Refunds (D)	Paid During Year €	Unpaid at the End of the Year
							Amount	
Planned Parenthood Federation Zip/Postal Code 1001-2601 Queens - Long Island Basketball Zip/Postal Code 11432 The College of Physicians of Philadelphia Zip/Postal Code 19103-3097 The Michael J Fox Foundation Zip/Postal Code 10163 Trustees of Hamilton College Zip/Postal Code 13323 Lupus Research Alliance Zip/Postal Code 10016 Queens - Long Island Basketball Zip/Postal Code 11432	New York	NY		\$1,000 00			\$1,000 00	
	Jamaica	NY		\$750 00			\$750 00	
	Philadelphia	PA		\$5,000 00			\$5,000 00	
	Manhattan	NY		\$1,000 00			\$1,000 00	
	Clinton	NY		\$100 00			\$100 00	
	Manhattan	NY		\$2,000 00			\$2,000 00	
				\$500 00			\$500 00	
	Jamaica	NY		\$2,040,000.00	(\$55,639.26)	(\$123,467.92)	\$2,367,828.66	2,840,000.00
				3,100,000.00			\$50,000 00	100,000 00
				150,000 00			\$50,000 00	100,000 00
Baylor College of Medicine Zip/Postal Code 77030-3411 Beth Israel Deaconess Medical Center Zip/Postal Code 02115 California Institute of Technology Zip/Postal Code 91125 Cincinnati Children Hospital Medical Center Zip/Postal Code 45229 Cleveland Clinic Foundation Zip/Postal Code 44106 Colorado State University Zip/Postal Code 80523 Duke University School of Medicine Zip/Postal Code 27706 Emory University Zip/Postal Code 30322 Hugo W Moser Research Institute at Kennedy Krieger, Inc Zip/Postal Code 21205 Joan & Sanford I Weill Medical College of Cornell University Zip/Postal Code 10021 Massachusetts Institute of Technology	Houston	TX					\$50,000 00	
	Boston	MA					\$50,000 00	
	Pasadena	CA					\$100,000 00	
	Cincinnati	OH					\$148,117 96	
	Cleveland	OH					\$50,000 00	150,000 00
	Collins	CO					\$50,000 00	150,000 00
	Durham	NC					\$100,000 00	100,000 00
	Atlanta	GA					\$100,000 00	100,000 00
	Baltimore	MD					\$100,000 00	
	Manhattan	NY					\$100,000 00	200,000 00

Quarterly Report January-December 2017		City	State	Unpaid during the Year (A)		Appropriated During Year (B)		All Adjustments (C)		Refunds (D)		Paid During Year €		Unpaid at the End of the Year	
				Payments Scheduled		Grant Amount		Amount		Amount		Amount		A+B+C-D-E=F	
Zip/Postal Code 02139	Medical University of South Carolina	Cambridge	MA					(\$1,025 86)							
Zip/Postal Code 29425	Memorial Sloan Kettering Cancer Center	Charleston	SC	350,000 00								\$250,000 00		100,000 00	
Zip/Postal Code 10065	New York University School of Medicine	Manhattan	NY			\$200,000 00						\$50,000 00		150,000 00	
Zip/Postal Code 10016	Research Foundation for Mental Hygiene (Columbia)	Manhattan	NY	100,000 00		\$200,000 00						\$150,000 00		150,000 00	
Zip/Postal Code 10032	Stanford University	Manhattan	NY	100,000 00		\$200,000 00								200,000 00	
Zip/Postal Code 94305	Stanford University School of Medicine	Palo Alto	CA	400,000 00								\$300,000 00		100,000 00	
Zip/Postal Code 94305-5235	SUNY Stony Brook School of Medicine	Palo Alto	CA	250,000 00								\$150,000 00		100,000 00	
Zip/Postal Code 11794	The Salk Institute for Biological Studies	Stony Brook	NY	200,000 00								\$100,000 00		100,000 00	
Zip/Postal Code 92037-1002	Trustees of the University of Pennsylvania	La Jolla	CA	100,000 00								\$100,000 00			
Zip/Postal Code 19104	University at Buffalo	Philadelphia	PA			\$200,000 00						\$50,000 00		150,000 00	
Zip/Postal Code 14260-1000	University of California, San Diego School of Medicine	Buffalo	NY			\$140,000 00								140,000 00	
Zip/Postal Code 92093-9151	University of California, San Francisco, School of Medicine	La Jolla	CA			\$200,000 00								200,000 00	
Zip/Postal Code 94158	University of California at Berkeley	San Francisco	CA	100,000 00								\$100,000 00			
Zip/Postal Code 94720	University of Michigan	Berkeley	CA			\$200,000 00						\$50,000 00		150,000 00	
Zip/Postal Code 48109	University of Michigan Medical School	Ann Arbor	MI	200,000 00										200,000 00	
Zip/Postal Code 48109	University of Pennsylvania	Ann Arbor	MI					(\$50,784 33)				\$19,710 70			
Zip/Postal Code 19104	University of Rochester	Philadelphia	PA	150,000 00				(\$3,220 31)				\$50,000 00		100,000 00	
Zip/Postal Code 14642	UT Southwestern Medical Center	Rochester	NY	150,000 00								\$50,000 00		100,000 00	

Quarterly Report January-December 2017		Unpaid during the Year (A)		Appropriated During Year (B)		All Adjustments (C)		Refunds (D)		Paid During Year €		Unpaid at the End of the Year	
		Payments Scheduled		Grant Amount		Amount		Amount		Amount		A+B+C-D-E=F	
		State		City									
Zip/Postal Code 75390	Washington University School of Medicine	TX		Dallas									
Zip/Postal Code 63130	Yale University	MO		St Louis		250,000 00				\$150,000 00		100,000 00	
Zip/Postal Code 06520	Neuroimmunology	CT		New Haven									
M D Anderson Cancer Center Zip/Postal Code 77030-4095	Neuroscience-Related	TX		Houston		755,250.00							
American Association for the Advancement of Science Zip/Postal Code 20005	American Museum of Natural History	DC		Washington									
Zip/Postal Code 10024-5192	Americans for Oxford, Inc	NY		Manhattan									
Zip/Postal Code 10110	Brooklyn Botanic Garden	NY		Manhattan									
Zip/Postal Code 11225	City College 21st Century Foundation	NY		Brooklyn									
Zip/Postal Code 10031	Columbia University Medical Center	NY		Manhattan									
Zip/Postal Code 10032	Dana-Farber Cancer Institute	NY		Manhattan									
Zip/Postal Code 02215-5450	Federation of European Neuroscience Societies (FENS)	MA		Boston		600,000 00							
Zip/Postal Code -	Frick Collection	Germany		Berlin									
Zip/Postal Code 10021	International Neuroethics Society	NY		Manhattan									
Zip/Postal Code 19104	Metropolitan Museum of Art	PA		Philadelphia									
Zip/Postal Code 10028-0198	Metropolitan Opera Association	NY		Manhattan									
Zip/Postal Code 10023	Morgan Library & Museum	NY		Manhattan									
Zip/Postal Code 10016	Museum of Modern Art	NY		Manhattan									

Quarterly Report January-December 2017		City	State	Unpaid during the Year (A)		Appropriated During Year (B)		All Adjustments (C)		Refunds (D)		Paid During Year €		Unpaid at the End of the Year	
				Payments Scheduled		Grant Amount		Amount		Amount		Amount		A+B+C-D-E=F	
Zip/Postal Code:10019		Manhattan	NY			\$2,500.00						\$2,500.00			
Museum of the City of New York		Manhattan	NY			\$5,000.00						\$5,000.00			
Zip/Postal Code:10029		Manhattan	NY			\$2,500.00						\$2,500.00			
Neue Galerie New York		Bronx	NY			\$5,000.00						\$5,000.00			
Zip/Postal Code:10028		Manhattan	NY			\$25,000.00						\$25,000.00			
New York Botanical Garden		Manhattan	NY			\$20,000.00						\$20,000.00			
Zip/Postal Code 10458-5126		Manhattan	NY			\$5,000.00						\$5,000.00			
New York Philharmonic		Manhattan	NY			\$2,500.00						\$2,500.00			
Zip/Postal Code:10023-6970		Manhattan	NY			\$5,000.00						\$5,000.00			
Nonprofit Coordinating Committee of New York		Manhattan	NY			\$25,000.00						\$25,000.00			
Zip/Postal Code:10018		Manhattan	NY			\$20,000.00						\$20,000.00			
Research/America		Alexandria	VA			\$5,000.00						\$5,000.00			
Zip/Postal Code:22314		London	England		155,250.00	\$95,000.00						\$95,000.00			
Royal Society		Manhattan	NY			\$5,000.00						\$5,000.00			
Rubin Museum of Art		Washington	DC			\$2,500.00						\$2,500.00			
Zip/Postal Code:10011		Manhattan	NY			\$5,000.00						\$5,000.00			
Society for Neuroscience (SfN)		Manhattan	NY			\$25,000.00						\$25,000.00			
Zip/Postal Code:-		Brooklyn	NY			\$5,000.00						\$5,000.00			
Solomon R. Guggenheim Foundation		Manhattan	NY			\$4,000.00						\$4,000.00			
Zip/Postal Code:10128		Manhattan	NY			\$6,196,219.72						\$6,196,219.72			
The Brooklyn Museum		Manhattan	NY												
Zip/Postal Code:11238		Manhattan	NY												
The Jewish Museum		Manhattan	NY												
Zip/Postal Code:10128		Manhattan	NY												
The University of Texas at Austin		Austin	TX												
Zip/Postal Code:78723		Manhattan	NY												
Whitney Museum of American Art		Manhattan	NY												
Zip/Postal Code:10014		Manhattan	NY												
Wildlife Conservation Society		Bronx	NY												
Zip/Postal Code:10460															
Grand Total					4,928,250.00	\$6,196,219.72			(\$164,297.81)		(\$182,126.47)	\$6,164,673.38		4,977,625.00	

Dana Alliance for Brain Initiatives, Inc NY NY

Less Adjustments
Less Refunds

Per Column A and d Page 1

All contributions are coded PC unless noted otherwise with an *

* Equivalency determination made

2577211.00

<164297.81>

* 8609133

2577211.00

<182126.50>

* 8559758