

**Form 990-PF**

Department of the Treasury  
Internal Revenue Service

## Return of Private Foundation

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

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

2017

## Open to Public Inspection

**For calendar year 2017, or tax year beginning 01-01-2017 , and ending 12-31-2017**

	<b>Part II Balance Sheets</b>	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
	1 Cash—non-interest-bearing		49,318	72,085	72,085
	2 Savings and temporary cash investments		5,626,044	4,486,112	4,486,107
	3 Accounts receivable ►				
	Less allowance for doubtful accounts ►				
	4 Pledges receivable ►				
	Less allowance for doubtful accounts ►				
	5 Grants receivable				
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7 Other notes and loans receivable (attach schedule) ► 4,233				
	Less allowance for doubtful accounts ► 0		1,561	4,233	4,233
	8 Inventories for sale or use				
	9 Prepaid expenses and deferred charges			3,089	3,089
	10a Investments—U S and state government obligations (attach schedule)				
	b Investments—corporate stock (attach schedule)		856,867	856,832	24,124,404
	c Investments—corporate bonds (attach schedule)				
	11 Investments—land, buildings, and equipment basis ►				
	Less accumulated depreciation (attach schedule) ►				
	12 Investments—mortgage loans		1,493	1,493	1,800
	13 Investments—other (attach schedule)		352,961	171,115	197,807
	14 Land, buildings, and equipment basis ► 15,686				
	Less accumulated depreciation (attach schedule) ► 14,134		731	1,552	1,552
	15 Other assets (describe ► )				
	16 <b>Total assets</b> (to be completed by all filers—see the instructions Also, see page 1, item I)		6,888,975	5,596,511	28,891,077
	17 Accounts payable and accrued expenses				
	18 Grants payable				
	19 Deferred revenue				
	20 Loans from officers, directors, trustees, and other disqualified persons				
	21 Mortgages and other notes payable (attach schedule)				
	22 Other liabilities (describe ► )		0	6,472	6,472
	23 <b>Total liabilities</b> (add lines 17 through 22)		0	6,472	6,472
	<b>Foundations that follow SFAS 117, check here ► <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.</b>				
	24 Unrestricted				
	25 Temporarily restricted				
	26 Permanently restricted				
	<b>Foundations that do not follow SFAS 117, check here ► <input checked="" type="checkbox"/> and complete lines 27 through 31.</b>				
	27 Capital stock, trust principal, or current funds		0	0	0
	28 Paid-in or capital surplus, or land, bldg , and equipment fund		0	0	0
	29 Retained earnings, accumulated income, endowment, or other funds		6,888,975	5,590,039	
	30 <b>Total net assets or fund balances</b> (see instructions)		6,888,975	5,590,039	
	31 <b>Total liabilities and net assets/fund balances</b> (see instructions)		6,888,975	5,596,511	

**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	6,888,975
2	Enter amount from Part I, line 27a	2	-1,298,936
3	Other increases not included in line 2 (itemize) ►	3	0
4	Add lines 1, 2, and 3	4	5,590,039
5	Decreases not included in line 2 (itemize) ►	5	0
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	5,590,039

**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co.)			(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a See Additional Data Table					
a					
b					
c					
d					
e					
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)		
a See Additional Data Table					
b					
c					
d					
e					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69					
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))		
a See Additional Data Table					
b					
c					
d					
e					
2 Capital gain net income or (net capital loss)		If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7	2	6,264,305	
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					

**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?

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part

 Yes  No**1 Enter the appropriate amount in each column for each year, see instructions before making any entries**

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2016	15,269,253	33,537,273	0 455292
2015	6,079,401	15,236,205	0 399010
2014	4,580,291	11,341,614	0 403848
2013	7,797,254	13,368,497	0 583256
2012	7,078,000	20,438,527	0 346307
<b>2 Total</b> of line 1, column (d)			2 187713
<b>3 Average</b> distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years			0 437543
<b>4 Enter</b> the net value of noncharitable-use assets for 2017 from Part X, line 5			28,891,553
<b>5 Multiply</b> line 4 by line 3			12,641,297
<b>6 Enter</b> 1% of net investment income (1% of Part I, line 27b)			67,805
<b>7 Add</b> lines 5 and 6			12,709,102
<b>8 Enter</b> qualifying distributions from Part XIII, line 4			6,902,587

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ► <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)	1	135,609
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ► <input type="checkbox"/> and enter 1% of Part I, line 27b		
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	2	0
3	Add lines 1 and 2.	3	135,609
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	4	0
5	<b>Tax based on investment income.</b> Subtract line 4 from line 3 If zero or less, enter -0- . . . . .	5	135,609
6	Credits/Payments		
a	2017 estimated tax payments and 2016 overpayment credited to 2017	6a	87,769
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	0
7	Total credits and payments Add lines 6a through 6d.	7	97,769
8	Enter any <b>penalty</b> for underpayment of estimated tax Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8	1,512
9	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>	9	39,352
10	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>	10	
11	Enter the amount of line 10 to be <b>Credited to 2018 estimated tax</b> ►	Refunded	11

**Part VII-A Statements Regarding Activities**

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	Yes	No
1b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)?  <i>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</i>	Yes	No
1c	Did the foundation file <b>Form 1120-POL</b> for this year?	Yes	No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year <b>(1)</b> On the foundation ► \$ _____ 0 <b>(2)</b> On foundation managers ► \$ _____ 0		
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ► \$ _____ 0		
2	Has the foundation engaged in any activities that have not previously been reported to the IRS?  <i>If "Yes," attach a detailed description of the activities</i>	Yes	No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	Yes	No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	Yes	No
b	If "Yes," has it filed a tax return on <b>Form 990-T</b> for this year?	Yes	No
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year?  <i>If "Yes," attach the statement required by General Instruction T</i>	Yes	No
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?	Yes	No
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	Yes	No
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ►CA		
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation</i>	Yes	No
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 taxable year beginning in 2017 (see instructions for Part XIV)?  <i>If "Yes," complete Part XIV</i>	Yes	No
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>	Yes	No

**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). 11 No

12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions). 12 No

13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? 13 Yes

Website address ► HERBALPERTFOUNDATION.ORG

14 The books are in care of ► FRAZIN AND CO CPA Telephone no ► (818) 528-3545

Located at ► 16255 VENTURA BLVD SUITE 1250 ENCINO CA

ZIP+4 ► 91436

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? 16 Yes No

See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR). If "Yes", enter the name of the foreign country ►

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

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

1a During the year did the foundation (either directly or indirectly)

(1) Engage in the sale or exchange, or leasing of property with a disqualified person?  Yes  No

(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?  Yes  No

(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?  Yes  No

(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?  Yes  No

(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?  Yes  No

(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days).  Yes  No

b If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? ► 1b □

Organizations relying on a current notice regarding disaster assistance check here. ► □

c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2017? 1c No

2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))

a At the end of tax year 2017, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2017? 2a □ Yes  No

If "Yes," list the years ► 20\_\_\_\_, 20\_\_\_\_, 20\_\_\_\_, 20\_\_\_\_

b Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions) 2b □

c If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ► 20\_\_\_\_, 20\_\_\_\_, 20\_\_\_\_, 20\_\_\_\_

3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? 3a □ 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 □

4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? 4a No

b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2017? 4b No



**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors****1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
See Additional Data Table				

**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	Title, and average hours per week (b) devoted to position	(c) Compensation	Contributions to employee benefit plans and deferred compensation (d)	Expense account, (e) other allowances
MATTHEW WILDER 1414 SIXTH ST SANTA MONICA, CA 90401	PROGRAM OFFICER 40 00	122,629	0	0
NANCEE ENYART 1414 SIXTH ST SANTA MONICA, CA 90401	EXECUTIVE ASST 40 00	117,767	0	0

**Total number of other employees paid over \$50,000. . . . . ► 0**

**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
C4 GLOBAL COMMUNICATIONS INC 1625 17TH ST SUITE 6 SANTA MONICA, CA 90404	PUBLIC RELATIONS	60,010

**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	
2	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2

Amount

1	
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	24,702,161
b	Average of monthly cash balances. . . . .	1b	4,289,200
c	Fair market value of all other assets (see instructions). . . . .	1c	340,165
d	<b>Total</b> (add lines 1a, b, and c). . . . .	1d	29,331,526
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). . . . .	1e	0
2	Acquisition indebtedness applicable to line 1 assets. . . . .	2	0
3	Subtract line 2 from line 1d. . . . .	3	29,331,526
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	4	439,973
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3 Enter here and on Part V, line 4	5	28,891,553
6	<b>Minimum investment return.</b> Enter 5% of line 5. . . . .	6	1,444,578

**Distributable Amount** (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign

**Part XI** organizations check here ►  and do not complete this part )

1	Minimum investment return from Part X, line 6. . . . .	1	1,444,578
2a	Tax on investment income for 2017 from Part VI, line 5. . . . .	2a	135,609
b	Income tax for 2017 (This does not include the tax from Part VI). . . . .	2b	
c	Add lines 2a and 2b. . . . .	2c	135,609
3	Distributable amount before adjustments Subtract line 2c from line 1. . . . .	3	1,308,969
4	Recoveries of amounts treated as qualifying distributions. . . . .	4	0
5	Add lines 3 and 4. . . . .	5	1,308,969
6	Deduction from distributable amount (see instructions). . . . .	6	0
7	<b>Distributable amount</b> as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1. . . . .	7	1,308,969

**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	6,902,587
b	Program-related investments—total from Part IX-B. . . . .	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes. . . . .	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required). . . . .	3a	
b	Cash distribution test (attach the required schedule). . . . .	3b	
4	<b>Qualifying distributions.</b> Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	6,902,587
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions). . . . .	5	0
6	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4. . . . .	6	6,902,587
<b>Note:</b> 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
<b>1</b> Distributable amount for 2017 from Part XI, line 7				1,308,969
<b>2</b> Undistributed income, if any, as of the end of 2017			0	
<b>a</b> Enter amount for 2016 only. . . . .			0	
<b>b</b> Total for prior years 20____, 20____, 20____		0		
<b>3</b> Excess distributions carryover, if any, to 2017				
<b>a</b> From 2012. . . . .	6,106,839			
<b>b</b> From 2013. . . . .	7,153,789			
<b>c</b> From 2014. . . . .	4,131,628			
<b>d</b> From 2015. . . . .	5,395,513			
<b>e</b> From 2016. . . . .	13,919,965			
<b>f</b> <b>Total</b> of lines 3a through e. . . . .	36,707,734			
<b>4</b> Qualifying distributions for 2017 from Part XII, line 4 ► \$ 6,902,587			0	
<b>a</b> Applied to 2016, but not more than line 2a			0	
<b>b</b> Applied to undistributed income of prior years (Election required—see instructions). . . . .		0		
<b>c</b> Treated as distributions out of corpus (Election required—see instructions). . . . .	0			
<b>d</b> Applied to 2017 distributable amount. . . . .				1,308,969
<b>e</b> Remaining amount distributed out of corpus	5,593,618			
<b>5</b> Excess distributions carryover applied to 2017 (If an amount appears in column (d), the same amount must be shown in column (a) )	0			0
<b>6</b> <b>Enter the net total of each column as indicated below:</b>				
<b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5	42,301,352			
<b>b</b> Prior years' undistributed income Subtract line 4b from line 2b. . . . .		0		
<b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. . . . .		0		
<b>d</b> Subtract line 6c from line 6b Taxable amount—see instructions . . . . .		0		
<b>e</b> Undistributed income for 2016 Subtract line 4a from line 2a Taxable amount—see instructions . . . . .			0	
<b>f</b> Undistributed income for 2017 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2018 . . . . .				0
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions) . . . . .	0			
<b>8</b> Excess distributions carryover from 2012 not applied on line 5 or line 7 (see instructions) . . . . .	6,106,839			
<b>9</b> <b>Excess distributions carryover to 2018.</b> Subtract lines 7 and 8 from line 6a . . . . .	36,194,513			
<b>10</b> Analysis of line 9				
<b>a</b> Excess from 2013. . . . .	7,153,789			
<b>b</b> Excess from 2014. . . . .	4,131,628			
<b>c</b> Excess from 2015. . . . .	5,395,513			
<b>d</b> Excess from 2016. . . . .	13,919,965			
<b>e</b> Excess from 2017. . . . .	5,593,618			

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

1a	If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2017, enter the date of the ruling. ►			
b	Check box to indicate whether the organization is a private operating foundation described in section <input type="checkbox"/> 4942(j)(3) or <input type="checkbox"/> 4942(j)(5)			
2a	Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed.			
b	85% of line 2a.			
c	Qualifying distributions from Part XII, line 4 for each year listed.			
d	Amounts included in line 2c not used directly for active conduct of exempt activities.			
e	Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c.			
3	Complete 3a, b, or c for the alternative test relied upon			
a	"Assets" alternative test—enter			
(1)	Value of all assets.			
(2)	Value of assets qualifying under section 4942(j)(3)(B)(i)			
b	"Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed.			
c	"Support" alternative test—enter			
(1)	Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties).			
(2)	Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).			
(3)	Largest amount of support from an exempt organization			
(4)	Gross investment income			

**Part XV Supplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see instructions.)****1 Information Regarding Foundation Managers:**

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

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

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

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

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

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

c Any submission deadlines

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

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<i>a Paid during the year</i> See Additional Data Table				
<b>Total</b> . . . . .			► 3a	6,902,587
<i>b Approved for future payment</i>				
<b>Total</b> . . . . .			► 3b	0

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions )
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments.					
3 Interest on savings and temporary cash investments	523000		14	2,215	
4 Dividends and interest from securities.	523000		14	545,453	
5 Net rental income or (loss) from real estate					
a Debt-financed property.					
b Not debt-financed property.					
6 Net rental income or (loss) from personal property					
7 Other investment income.	522100		18	11,265	
8 Gain or (loss) from sales of assets other than inventory	523000		18	6,264,305	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e).		0		6,823,238	0
13 Total. Add line 12, columns (b), (d), and (e).					6,823,238
(See worksheet in line 13 instructions to verify calculations.)					

**Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes**

## Part XVII

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

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

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

(1) Cash. . . . .	1a(1)	No
(2) Other assets. . . . .	1a(2)	No

### **b Other transactions**

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

**2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations

described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? . . . . .  Yes  No

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

<b>(a) Name of organization</b>	<b>(b) Type of organization</b>	<b>(c) Description of relationship</b>

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

**Sign  
Here**

\* \* \* \* \*

2018-11-14

\* \* \* \* :

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

<b>Paid Preparer Use Only</b>	Print/Type preparer's name  SUSAN FRAZIN	Preparer's Signature	Date	Check if self-employed ► <input type="checkbox"/>	PTIN  P00233791
	Firm's name ► FRAZIN AND CO CPA				Firm's EIN ► 95-4545665
	Firm's address ► 16255 VENTURA BLVD 1250  ENCINO, CA 91436				Phone no (818) 528-3545

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

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
OCM PRINC OPPORTUNITIES FD IV	P		
OCM PRINC OPPORTUNITIES FD IV AIF	P		
OCM PRINC OPPORTUNITIES FD VII	P		
OCM PRINC OPPORTUNITIES FD VII AIF	P		
NORTHERN TRUST 1981	P		
WELLS FARGO	P		
CAPITAL GAINS DIVIDENDS	P		

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis (h) plus expense of sale	(h) (e) plus (f) minus (g)
308,055			308,055
		8,284	-8,284
		68,502	-68,502
		6,802	-6,802
6,031,103		35	6,031,068
399			399
8,371			8,371

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			Gains (Col (h) gain minus col (k), but not less than -0-) or (l) Losses (from col (h))
(i) FMV as of 12/31/69	Adjusted basis (j) as of 12/31/69	Excess of col (i) (k) over col (j), if any	
			308,055
			-8,284
			-68,502
			-6,802
			6,031,068
			399
			8,371

## Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
HERB ALPERT	CHAIRMAN 0 00	0	0	0
1414 SIXTH ST SANTA MONICA, CA 90401				
LANI HALL ALPERT	VICE CHAIR 0 00	0	0	0
1414 SIXTH ST SANTA MONICA, CA 90401				
RONA SEBASTIAN	PRESIDENT 40 00	530,000	0	0
1414 SIXTH ST SANTA MONICA, CA 90401				
PAUL FRIMMER	CFO 0 00	0	0	0
10100 SANTA MONICA BLVD STE 2200 LOS ANGELES, CA 90067				
IAN WIENER	SECRETARY 0 00	0	0	0
1800 AVENUE OF THE STARS 900 LOS ANGELES, CA 90067				
DAVID ALPERT	ASSISTANT SECRETARY 0 00	0	0	0
1414 SIXTH ST SANTA MONICA, CA 90401				

**Form 990PF Part XV Line 1a - List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000).**

HERB ALPERT

LANI HALL ALPERT

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a Paid during the year</i>				
18TH STREET ARTS CENTER 1639 18TH ST SANTA MONICA, CA 90404	NONE		CHARITABLE	25,000
AMERICANS FOR THE ARTS 1000 VERMONT AVE NW WASHINGTON, DC 20005	NONE		CHARITABLE	25,000
ANGEL CITY ARTS 520 BAUGHMAN AVE CLAREMONT, CA 91711	NONE		CHARITABLE	20,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a Paid during the year</i>				
ARTS FOR LA1149 S HILL ST STE H100 LOS ANGELES, CA 90015	NONE		CHARITABLE	10,000
ARTWORXLATHE HEART PROJECT 1140 N CITRUS AVE LOS ANGELES, CA 90038	NONE		CHARITABLE	30,000
BOYS AND GIRLS CLUB OF SAN GABRIEL VALLEY 328 S RAMONA AVE MONTEREY PARK, CA 91754	NONE		CHARITABLE	5,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

## Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
CALIFORNIA ALLIANCE FOR ARTS EDUCATION 495 COLORADO BLVD PASADENA, CA 91101	NONE		CHARITABLE	15,000
CALIFORNIA DANCE INSTITUTE 3131 OLYMPIC BLVD 202 SANTA MONICA, CA 90404	NONE		CHARITABLE	25,000
CALIFORNIA INSTITUTE OF THE ARTS 24700 MCBEAN PARKWAY VALENCIA, CA 91355	NONE		CHARITABLE	654,687
<b>Total . . . . .</b>			►	6,902,587
<b>3a</b>				

**Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
CALIFORNIA JAZZ FOUNDATION 14156 MAGNOLIA BLVD SHERMAN OAKS, CA 91423	NONE		CHARITABLE	5,000
CALIFORNIA STATE SUMMER SCHOOL FOR THE ARTS PO BOX 1077 SACRAMENTO, CA 95812	NONE		CHARITABLE	380,800
CALIFORNIA STATE UNIVERSITY NORTHRIDGE 18111 NORDHOFF ST NORTHRIDGE, CA 91330	NONE		CHARITABLE	80,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

**Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
CASA 01012102 E FIRST ST LOS ANGELES, CA 90033	NONE		CHARITABLE	25,000
CASA LA201 CENTRE PLAZA 1100 MONTEREY PARK, CA 91754	NONE		CHARITABLE	2,000
CERES COMMUNITY PROJECT 7351 BODEGA AVE SEBASTOPOL, CA 95472	NONE		CHARITABLE	5,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a Paid during the year</i>				
CHRYsalis1853 LINCOLN BLVD SANTA MONICA, CA 90404	NONE		CHARITABLE	100,000
COALITION FOR ENGAGED EDUCATION 4131 OLYMPIC BLVD SANTA MONICA, CA 90404	NONE		CHARITABLE	50,000
COMMUNITY ARTS PARTNERSHIP 24700 MCBEAN PARKWAY VALENCIA, CA 91355	NONE		CHARITABLE	100,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

## Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
COMMUNITY PARTNERS FBO CIRCLE OF FRIENDS 1000 N ALAMEDA STS 240 LOS ANGELES, CA 90012	NONE		CHARITABLE	250
COMMUNITY PARTNERS FBO LA COMMONS 1000 N ALAMEDA STS 240 LOS ANGELES, CA 90012	NONE		CHARITABLE	25,000
COMMUNITY PARTNERS FBO LIBROS SCHMIBROS LENDING 1000 N ALAMEDA STS 240 LOS ANGELES, CA 90012	NONE		CHARITABLE	15,000
<b>Total . . . . . ►</b> <b>3a</b>				6,902,587

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a Paid during the year</i>				
COMMUNITY PARTNERS FBO WRITEGIRL 1000 N ALAMEDA STS 240 LOS ANGELES, CA 90012	NONE		CHARITABLE	20,000
CONCERN FOUNDATION 1026 S ROBERTSON BLVD LOS ANGELES, CA 90035	NONE		CHARITABLE	27,000
CONTRA TIEMPO4058 TILDEN AVE CULVER CITY, CA 90232	NONE		CHARITABLE	15,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

## Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
DEPT OF CULTURAL AFFAIRS LOS ANGELES 201 N FIGUEROA 1400 LOS ANGELES, CA 90012	NONE		CHARITABLE	5,000
DIRECT RELIEF 6100 WALLACE BECKNELL RD SANTA BARBARA, CA 93117	NONE		CHARITABLE	5,000
DREAM A WORLD EDUCATION INC 256 ROBERTSON BLVD BEVERLY HILLS, CA 90211	NONE		CHARITABLE	25,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a Paid during the year</i>				
FRIENDS OF MALIBU URGENT CARE 23656 PACIFIC COAST HWY MALIBU, CA 90265	NONE		CHARITABLE	50,000
GHETTO FILM SCHOOL 79 ALEXANDER AVE 41A BRONX, CA 10454	NONE		CHARITABLE	15,000
GOOD PEOPLE FUND 384 WYOMING AVE MILLBURN, CA 07041	NONE		CHARITABLE	225,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

## Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
GRANTMAKERS CONCERNED WITH IMMIGRANTS & REFUGEES PO BOX 1100 SEBASTOPOL, CA 95473	NONE		CHARITABLE	10,000
GRANTMAKERS IN THE ARTS 4055 21ST AVE W SEATTLE, WA 98119	NONE		CHARITABLE	10,000
HISPANIC FEDERATION UNIDOS 55 EXCHANGE PL 5TH FLOOR NEW YORK, NY 10005	NONE		CHARITABLE	100,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

**Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
HOMEBOY INDUSTRIES 130 W BRUNO ST LOS ANGELES, CA 90012	NONE		CHARITABLE	75,000
JAZZ AT LINCOLN CENTER 3 COLUMBUS CIR 12 NEW YORK, NY 10019	NONE		CHARITABLE	100,000
JAZZ EDUCATION NETWORK 45 WHISPER DR WORCESTER, MA 01609	NONE		CHARITABLE	20,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a Paid during the year</i>				
JERUSALEM FOUNDATION 420 LEXINGTON AVE 1645 NEW YORK, NY 10170	NONE		CHARITABLE	17,000
KJAZZ1500 COTNER AVE LOS ANGELES, CA 90025	NONE		CHARITABLE	25,000
LA GOAL4911 OVERLAND AVE CULVER CITY, CA 90230	NONE		CHARITABLE	2,500
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a Paid during the year</i>				
LEADERCOMM GLOBAL COMMUNITY 1615 DUKE ST ALEXANDRIA, VA 22314	NONE		CHARITABLE	75,000
LOS ANGELES CHAMBER ORCHESTRA 350 S FIGUEROA ST 183 LOS ANGELES, CA 90071	NONE		CHARITABLE	5,000
LOS ANGELES CITY COLLEGE 855 N VERNON AVE LOS ANGELES, CA 90029	NONE		CHARITABLE	5,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a Paid during the year</i>				
LOS ANGELES JAZZ SOCIETY 5903 NOBLE AVE VAN NUYS, CA 91411	NONE		CHARITABLE	30,000
LOS ANGELES PHILHARMONIC 151 S GRAND AVE LOS ANGELES, CA 90012	NONE		CHARITABLE	25,000
MADISON PROJECT FOUNDATION 1900 PICO BLVD SANTA MONICA, CA 90405	NONE		CHARITABLE	35,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a Paid during the year</i>				
MUSIC MENDS MINDS INC 2355 WESTWOOD BLVD LOS ANGELES, CA 90064	NONE		CHARITABLE	10,000
PASADENA ARTS COUNCIL 65 SOUTH GRAND AVE PASADENA, CA 91105	NONE		CHARITABLE	125,000
PEN CENTER WEST USAPO BOX 6037 BEVERLY HILLS, CA 90212	NONE		CHARITABLE	25,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a Paid during the year</i>				
PLANNED PARENTHOOD 400 WEST 30TH ST LOS ANGELES, CA 90007	NONE		CHARITABLE	3,000
PLAZA DE LA RAZA 3540 N MISSION RD LOS ANGELES, CA 90031	NONE		CHARITABLE	25,000
PS ARTS 1728 ABBOT KINNEY BLVD VENICE, CA 90291	NONE		CHARITABLE	225,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

**Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
REDCAT24700 MCBEAN PARKWAY VALENCIA, CA 91355	NONE		CHARITABLE	25,000
REDISCOVER 12958 W WASHINGTON BLVD LOS ANGELES, CA 90066	NONE		CHARITABLE	20,000
RYAN'S REACH13 AUGUSTA COTO DE CAZA, CA 92679	NONE		CHARITABLE	5,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

**Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
RYMAN ARTS 1933 S BROADWAY LOS ANGELES, CA 90007	NONE		CHARITABLE	15,000
SKIRBALL CULTURAL CENTER 2701 N SEPULVEDA BLVD LOS ANGELES, CA 90049	NONE		CHARITABLE	30,000
SMMEFOR 1645 16TH ST SANTA MONICA, CA 90404	NONE		CHARITABLE	5,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

## Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
SOL-LA MUSIC ACADEMY 1812 STANFORD ST SANTA MONICA, CA 90404	NONE		CHARITABLE	25,000
SOUND AWARENESS INITIATIVE FBO SANTA MONICA YOUTH ORCHESTRA 1017 4TH ST SANTA MONICA, CA 90403	NONE		CHARITABLE	20,000
SOUTHERN CALIFORNIA GRANTMAKERS 1000 N ALAMEDA STS 240 LOS ANGELES, CA 90012	NONE		CHARITABLE	8,300
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

## Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
SYMPHONIC JAZZ ORCHESTRA PO BOX 1421 CULVER CITY, CA 90232	NONE		CHARITABLE	15,000
THE ACTORS' GANG 9070 VENICE BLVD CULVER CITY, CA 90232	NONE		CHARITABLE	20,000
THE ASCAP FOUNDATION ONE LINCOLN PLAZA NEW YORK, NY 10023	NONE		CHARITABLE	35,000
<b>Total . . . . . ►</b>				6,902,587
<b>3a</b>				

**Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
THE CENTER ON PHILANTHROPY AND PUBLIC POLICY RALPH AND GOLDY LEWIS HALL 210 LOS ANGELES, CA 90089	NONE		CHARITABLE	10,000
THE GABRIELLA AXELRAD EDUCATION FOUNDATION 639 S COMMONWEALTH AVE LOS ANGELES, CA 90005	NONE		CHARITABLE	25,000
THE HARLEM SCHOOL OF THE ARTS 645 ST NICHOLAS AVE NEW YORK, NY 90030	NONE		CHARITABLE	400,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a Paid during the year</i>				
THE HARMONY PROJECT 817 VINE ST LOS ANGELES, CA 90038	NONE		CHARITABLE	150,000
THE INTERNATIONAL TRUMPET GUILD PO BOX 2688 DAVENPORT, IA 52809	NONE		CHARITABLE	24,500
THE JAZZ BAKERY 1836 BENEDICT CYN DR BEVERLY HILLS, CA 90210	NONE		CHARITABLE	62,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

## Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
THE JAZZ FOUNDATION 13205 CHELTENHAM DR SHERMAN OAKS, CA 91423	NONE		CHARITABLE	50,000
THE KENNEDY CENTER FBO TURNAROUND ARTS (PCAH) 2700 F ST NW WASHINGTON, DC 20566	NONE		CHARITABLE	100,000
THE LIBRARY FOUNDATION 630 W 5TH ST LOS ANGELES, CA 90071	NONE		CHARITABLE	25,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

**Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
THE MR HOLLAND'S OPUS 4370 TUJUNGA AVE 330 STUDIO CITY, CA 91604	NONE		CHARITABLE	5,000
THE PAINTED TURTLE 17000 ELIZABETH LAKE RD LAKE HUGHES, CA 93532	NONE		CHARITABLE	50,000
THE RON FINLEY PROJECT 4501 EXPOSITION BLVD LOS ANGELES, CA 90016	NONE		CHARITABLE	15,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a Paid during the year</i>				
THE SOLDIERS PROJECT 4605 LANKERSHIM BLVD NORTH HOLLYWOOD, CA 91602	NONE		CHARITABLE	55,000
THE SOUTHERN POVERTY LAW CENTER 400 WASHINGTON AVE MONTGOMERY, AL 36104	NONE		CHARITABLE	30,000
THE WORLD STAGEPO BOX 8694 LOS ANGELES, CA 90008	NONE		CHARITABLE	10,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

## Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
THELONIOUS MONK INSTITUTE 5225 WISCONSIN AVE NW WASHINGTON, DC 20015	NONE		CHARITABLE	250,000
TURNAROUND ARTS CALIFORNIA 12541 BEATRICE ST LOS ANGELES, CA 90066	NONE		CHARITABLE	100,000
UNIVERSITY OF CALIFORNIA LA FOUNDATION 1147 MURPHY HALL LOS ANGELES, CA 90095	NONE		CHARITABLE	231,374
<b>Total . . . . .</b>			►	6,902,587
<b>3a</b>				

**Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
UNIVERSITY OF OREGON 1720 E 13TH AVE 410 EUGENE, OR 97403	NONE		CHARITABLE	5,000
UNIVERSITY OF SOUTHERN CALIFORNIA 1149 S HILL ST STE H100 LOS ANGELES, CA 90015	NONE		CHARITABLE	10,000
UNUSUAL SUSPECTS THEATRE 3719 VERDUGO RD LOS ANGELES, CA 90065	NONE		CHARITABLE	30,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<i>a Paid during the year</i>				
VENICE ARTS 1702 LINCOLN BLVD VENICE, CA 90291	NONE		CHARITABLE	40,000
VIRGINIA AVENUE PROJECT 3000 OLYMPIC BLVD SANTA MONICA, CA 90404	NONE		CHARITABLE	-10,824
VISION TO LEARN 11611 SAN VICENTE BL LOS ANGELES, CA 90049	NONE		CHARITABLE	20,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

## Form 990PF Part XV Line 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)				
<b>a Paid during the year</b>				
VISTA DEL MAR CHILD AND FAMILY SERVICES 3200 MOTOR AVE LOS ANGELES, CA 90034	NONE		CHARITABLE	2,000,000
YOUNG STORYTELLERS FOUNDATION 923 E THIRD ST LOS ANGELES, CA 90013	NONE		CHARITABLE	35,000
YOUTH SPEAK COLLECTIVE 444 SOUTH BRAND BLVD 201 SAN FERNANDO, CA 91340	NONE		CHARITABLE	25,000
<b>Total . . . . .</b>				6,902,587
<b>3a</b>				

## TY 2017 Accounting Fees Schedule

**Name:** THE HERB ALPERT FOUNDATION**EIN:** 95-4191227

## Accounting Fees Schedule

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	10,200	5,100		0

**Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.**

## **TY 2017 Depreciation Schedule**

**Name: THE HERB ALPERT FOUNDATION**

**EIN: 95-4191227**

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
COMPUTER EQUIPMENT	2003-10-13	1,754	877	200DB	5 000000000000	0	0		
OFFICE EQUIPMENT	2004-11-03	2,583	2,583	200DB	5 000000000000	0	0		
OFFICE EQUIPMENT	2004-11-15	2,834	2,834	200DB	5 000000000000	0	0		
OFFICE EQUIPMENT	2006-03-03	1,211	1,211	200DB	5 000000000000	0	0		
OFFICE EQUIPMENT	2013-05-31	2,112	874	200DB	5 000000000000	122	0		
MAC COMPUTER	2015-07-07	2,285	593	200DB	5 000000000000	219	0		
IMAC COMPUTER	2017-03-22	2,907		200DB	5 000000000000	1,745	0		

## TY 2017 Investments Corporate Stock Schedule

**Name:** THE HERB ALPERT FOUNDATION

**EIN:** 95-4191227

<b>Name of Stock</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
EQUITY SECURITIES HELD AT NORTHERN TRUST A/C#1981	856,832	24,124,404

## TY 2017 Investments - Other Schedule

**Name:** THE HERB ALPERT FOUNDATION**EIN:** 95-4191227

## Investments Other Schedule 2

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
INVESTMENT-OCM PRINCIP OPPORT FD IV	FMV	82,807	89,269
INVESTMENT-OCM PRINCIP OPPORT FD IV AIF	FMV	0	18,039
INVESTMENT-OCM PRINCIP OPPORT FD VII	FMV	58,700	60,950
INVESTMENT-OCM PRINCIP OPPORT FD VII AIF	FMV	29,608	29,549

## TY 2017 Land, Etc.

## Schedule

**Name:** THE HERB ALPERT FOUNDATION**EIN:** 95-4191227

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
COMPUTER EQUIPMENT	1,754	1,754	0	
OFFICE EQUIPMENT	2,583	2,583	0	
OFFICE EQUIPMENT	2,834	2,834	0	
OFFICE EQUIPMENT	1,211	1,211	0	
OFFICE EQUIPMENT	2,112	2,052	60	
MAC COMPUTER	2,285	1,955	330	
IMAC COMPUTER	2,907	1,745	1,162	

## TY 2017 Legal Fees Schedule

**Name:** THE HERB ALPERT FOUNDATION**EIN:** 95-4191227

<b>Category</b>	<b>Amount</b>	<b>Net Investment Income</b>	<b>Adjusted Net Income</b>	<b>Disbursements for Charitable Purposes</b>
LEGAL FEES	4,442	0	0	0

## TY 2017 Other Expenses Schedule

**Name:** THE HERB ALPERT FOUNDATION  
**EIN:** 95-4191227

## Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
AUTO	3,193	0		0
DUES AND SUBSCRIPTIONS	3,862	0		0
HOSPITALITY	2,443	0		0
EQUIPMENT REPAIRS	2,250	0		0
FREIGHT / MESSENGER	36	0		0
INSURANCE	7,955	0		0
INVESTMENT FEES	33,487	33,487		0
OFFICE EXPENSE	2,894	0		0
TELEPHONE	1,153	0		0
PUBLIC RELATIONS	62,968	0		0

## Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PAYROLL PROCESSING	2,771	0		0
TRAVEL	13,827	0		0
EMPLOYEE BENEFITS	89,522	0		0
EDUCATION/SEMINARS	1,550	0		0
WEBSITE DESIGN & MAINTENANCE	22,000	0		0
OCM PRINC OPP FD IV OTHER DEDUCTIONS	934	934		0
OCM PRINC OPP FD IV AIF OTHER DEDUCTIONS	65	65		0
OCM PRINC OPP FD VII OTHER DEDUCTIONS	317	317		0
OCM PRINC OPP FD VII AIF - PORTFOLIO DEDUCTIONS	2,882	2,882		0
BUILDING - REPAIRS & MAINTENANCE	13,126	0		0

## Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BUILDING - SECURITY	439	0		0
BUILDING - UTILITIES	4,620	0		0
BUILDING - OVERHEAD COSTS	11,508	0		0
BUILDING - SUPPLIES	994	0		0

## TY 2017 Other Income Schedule

**Name:** THE HERB ALPERT FOUNDATION**EIN:** 95-4191227**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
OCM PRINC OPP FD IV	13,134	13,134	13,134
OCM PRINC OPP FD IV AIF	-421	-421	-421
OCM PRINC OPP FD VII	-1,448	-1,448	-1,448

## TY 2017 Other Liabilities Schedule

**Name:** THE HERB ALPERT FOUNDATION**EIN:** 95-4191227

<b>Description</b>	<b>Beginning of Year - Book Value</b>	<b>End of Year - Book Value</b>
403B LIABILITY	0	1,050
INVESTMENT OCM PRINC OPP. FD IV AIF	0	5,422

# TY 2017 Substantial Contributors

## Schedule

**Name:** THE HERB ALPERT FOUNDATION

**EIN:** 95-4191227

<b>Name</b>	<b>Address</b>
HERB AND LANI ALPERT	1414 SIXTH STREET SANTA MONICA, CA 90401

## TY 2017 Taxes Schedule

**Name:** THE HERB ALPERT FOUNDATION**EIN:** 95-4191227

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PAYROLL TAXES	35,209	0		0
BUILDING - PROPERTY TAX	12,386	0		0
STATE TAXES	10	0		0
FEDERAL TAXES,NET OF STATE REFUND	143,078	0		0
TAX AND LICENSES	58	0		0

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

OMB No 1545-0047

► Attach to Form 990, 990-EZ, or 990-PF  
 ► Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at  
[www.irs.gov/form990](http://www.irs.gov/form990)

**2017****Name of the organization**  
THE HERB ALPERT FOUNDATION**Employer identification number**  
95-4191227**Organization type** (check one)**Filers of:****Section:**

Form 990 or 990-EZ

501(c)( ) (enter number) organization  
 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation  
 527 political organization

Form 990-PF

501(c)(3) exempt private foundation  
 4947(a)(1) nonexempt charitable trust treated as a private foundation  
 501(c)(3) taxable private foundation

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

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

**Special Rules**

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

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

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

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

<b>Name of organization</b> THE HERB ALPERT FOUNDATION		<b>Employer identification number</b> 95-4191227	
<b>Part I</b> <b>Contributors</b> (See instructions) Use duplicate copies of Part I if additional space is needed			
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	HERB LANI ALPERT 1414 6TH STREET	\$ 43,074	Person <input checked="" type="checkbox"/>
	SANTA MONICA, CA 90401		Payroll <input type="checkbox"/>
			Noncash <input type="checkbox"/>
			(Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/>
			Payroll <input type="checkbox"/>
		\$	Noncash <input type="checkbox"/>
			(Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/>
			Payroll <input type="checkbox"/>
		\$	Noncash <input type="checkbox"/>
			(Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/>
			Payroll <input type="checkbox"/>
		\$	Noncash <input type="checkbox"/>
			(Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/>
			Payroll <input type="checkbox"/>
		\$	Noncash <input type="checkbox"/>
			(Complete Part II for noncash contributions )

**Name of organization**  
THE HERB ALPERT FOUNDATION

**Employer identification number**

95-4191227

**Part II** **Noncash Property** (See instructions) Use duplicate copies of Part II if additional space is needed

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

**Name of organization**  
THE HERB ALPERT FOUNDATION

**Employer identification number**  
95-4191227

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

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
	(e) Transfer of gift Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
	(e) Transfer of gift Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
	(e) Transfer of gift Transferee's name, address, and ZIP 4		Relationship of transferor to transferee