Amended Return

Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

or Section 4947(a)(1) Trust Treated as Private Foundation 1812

▶ 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

OMB No 1545-0052

2018

Open to Public Inspection

29491079009001

For calendar year 2018 or tax year beginning , and ending

Name of foundation The Charles A Dana Foundation, Incorporated		A Employer identification number 06-6036761
Number and street (or P O box number if mail is not delivered to street address) 505 Fifth Avenue	Room/suite 6th Fl	B Telephone number (see instructions) 212-223-4040
City or town, state or province, country, and ZIP or foreign postal code New York NY 10017		C If exemption application is pending, check here ▶ ☐
Foreign country name / Foreign province/state/county / Foreign postal code		

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

D 1 Foreign organizations, check here ▶ ☐
2 Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ $ 211,263,884

J Accounting method ☐ Cash ☒ Accrual ☐ Other (specify) (Part I, column (d) must be on cash basis)

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

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

	Line	Description	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)				
	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	967,090	967,090		
	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) See Statement 1	19,594,638	17,897,519		
	12	**Total** Add lines 1 through 11	20,561,728	18,864,609	0	
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	1,082,088	103,382		962,466
	14	Other employee salaries and wages	1,360,271	27,011		1,333,260
	15	Pension plans, employee benefits	830,886	22,345		892,874
	16a	Legal fees (attach schedule) See Statement 1	2,651			3,889
	b	Accounting fees (attach schedule) See Statement 1	58,552	27,294		31,258
	c	Other professional fees (attach schedule) See Statement 2	1,157,074	672,428		479,991
	17	Interest				
	18	Taxes (attach schedule) (see instructions) See Statement 2	484,143			
	19	Depreciation (attach schedule) and depletion Statement 3	39,874			
	20	Occupancy	833,079	83,308		812,880
	21	Travel, conferences, and meetings	110,831			114,790
	22	Printing and publications	246,868			261,360
	23	Other expenses (attach schedule) See Statement 4	384,169	38,137		343,575
	24	**Total operating and administrative expenses** Add lines 13 through 23	6,590,486	973,905	0	5,236,343
	25	Contributions, gifts, grants paid	7,888,081			8,740,706
	26	**Total expenses and disbursements** Add lines 24 and 25	14,478,567	973,905	0	13,977,049
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	6,083,161			
	b	**Net investment income** (if negative, enter -0-)		17,890,704		
	c	**Adjusted net income** (if negative, enter -0-)			0	

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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.)

	Line	Description	Beginning of year (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets	1	Cash—non-interest-bearing	18,023,719	9,532,917	9,532,917
	2	Savings and temporary cash investments			
	3	Accounts receivable ▶ 5,692			
		Less allowance for doubtful accounts ▶	8,172	5,692	5,692
	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) Statement 5	33,207,641	38,099,205	38,099,205
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule) Statement 6	187,039,890	163,269,622	163,269,622
	14	Land, buildings, and equipment. basis ▶ Statement 7 410,438			
		Less accumulated depreciation (attach schedule) ▶ 313,986	136,326	96,452	96,452
	15	Other assets (describe ▶ See Attached Statement 8)	446,130	259,996	259,996
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	238,861,878	211,263,884	211,263,884
Liabilities	17	Accounts payable and accrued expenses	348,195	335,398	
	18	Grants payable	4,977,625	4,125,000	
	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 ▶ See Attached Statement 9)	5,375,438	4,796,264	
	23	**Total liabilities** (add lines 17 through 22)	10,701,258	9,256,662	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ [X] and complete lines 24 through 26, and lines 30 and 31.**			
	24	Unrestricted	228,160,620	202,007,222	
	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)	228,160,620	202,007,222	
	31	**Total liabilities and net assets/fund balances** (see instructions)	238,861,878	211,263,884	

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	228,160,620
2	Enter amount from Part I, line 27a	2	6,083,161
3	Other increases not included in line 2 (itemize) ▶ Change in Deferred Excise Taxes	3	700,000
4	Add lines 1, 2, and 3	4	234,943,781
5	Decreases not included in line 2 (itemize) ▶ Change in Net Unrealized Appreciation in Investment Assets	5	32,936,557
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	202,007,224

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) 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				
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

1 Enter the appropriate amount in each column for each year, see the instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2017	13,063,347	226,120,434	0 057772
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

2	**Total** of line 1, column (d)	2	0 297405
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 059481
4	Enter the net value of noncharitable-use assets for 2018 from Part X, line 5	4	226,480,820
5	Multiply line 4 by line 3	5	13,471,306
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	178,907
7	Add lines 5 and 6	7	13,650,213
8	Enter qualifying distributions from Part XII, line 4	8	13,977,049

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter ______ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b	1	178,907
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	178,907
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	178,907
6	Credits/Payments:		
a	2018 estimated tax payments and 2017 overpayment credited to 2018 — 6a — 206,080		
b	Exempt foreign organizations—tax withheld at source — 6b		
c	Tax paid with application for extension of time to file (Form 8868) — 6c — 300,000		
d	Backup withholding erroneously withheld — 6d		
7	Total credits and payments. Add lines 6a through 6d	7	506,080
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	327,173
11	Enter the amount of line 10 to be: **Credited to 2019 estimated tax** ▶ 327,173 **Refunded** ▶	11	0

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition	1b		X
	If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities			
c	Did the foundation file **Form 1120-POL** for this year?	1c		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.	2		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 Statement 16	3	X	
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a	X	
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b	X	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by *General Instruction T.*	5		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?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	7	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 *General Instruction G?* If "No," attach explanation	8b	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 2018 or the tax year beginning in 2018? See the instructions for Part XIV. If "Yes," complete Part XIV	9		X
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

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

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule See instructions Statement 11	11	X	
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		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ www dana org

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

			Yes	No
16	At any time during calendar year 2018, 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		X
	See the instructions for exceptions and filing requirements for FinCEN Form 114 If "Yes," enter the name of the foreign country ▶			

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies. Yes No

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

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

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

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

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

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

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

			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		X
	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 2018?	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 2018, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2018? ☐ Yes ☒ No

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

			Yes	No
b	If "Yes," did it have excess business holdings in 2018 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 2018)	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 2018?	4b		X

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

			Yes	No
5a	During the year, did the foundation pay or incur any amount to:			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	☐ Yes ☒ No		
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	☐ Yes ☒ No		
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	☐ Yes ☒ No		
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 4945(d)(4)(A)? See instructions	☒ Yes ☐ No		
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	☐ Yes ☒ No		
b	If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance? See instructions	5b		X
	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? statement 12 & 12.9	☒ Yes ☐ No		
	If "Yes," attach the statement required by Regulations section 53.4945–5(d).			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	☐ Yes ☒ No		
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	6b		X
	If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	☐ Yes ☒ No		
b	If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?	7b	N/A	
8	Is the foundation subject to the section 4960 tax on payment(s) of more than $1,000,000 in remuneration or excess parachute payment(s) during the year?	☐ 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		1,082,088	147,440	

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	.00	678,075	252,192	
	.00	0		
	.00	0		
	00	0		
	.00	0		
Total number of other employees paid over $50,000			▶	7

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	220,568
Guy McKhann, M D 3400 North Charles St, Baltimore, MD 21228	Health Program Consultant	225,000
Eagle Management Advisors 700 Commodore Court, Unit 2728, Philadelphia, PA 19146	Investment Management	157,408
Wellington Trust Company 280 Congress Street, Boston, MA 02210	Investment Management	75,282
Silchester Intl Investors, Inc 780 Third Avenue, NY, NY 10017	Investment Management	140,830
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 -5,236,343 Grants	2,029,844
2 Outreach- Websites	1,346,712
3 Outreach- Publications	1,258,672
4 Outreach- Communications	601,115

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	37,120,145
b	Average of monthly cash balances	1b	13,097,951
c	Fair market value of all other assets (see instructions)	1c	179,711,671
d	**Total** (add lines 1a, b, and c)	1d	229,929,767
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	229,929,767
4	Cash deemed held for charitable activities Enter 1½ % of line 3 (for greater amount, see instructions)	4	3,448,947
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	226,480,820
6	**Minimum investment return.** Enter 5% of line 5	6	11,324,041

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	11,324,041
2a	Tax on investment income for 2018 from Part VI, line 5	2a	178,907		
b	Income tax for 2018 (This does not include the tax from Part VI)	2b	91,136		
c	Add lines 2a and 2b			2c	270,043
3	Distributable amount before adjustments Subtract line 2c from line 1			3	11,053,998
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	11,053,998
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	11,053,998

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	13,977,049
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	13,977,049
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	178,907
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	13,798,142

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 2017	(c) 2017	(d) 2018
1	Distributable amount for 2018 from Part XI, line 7					11,053,998
2	Undistributed income, if any, as of the end of 2018					
a	Enter amount for 2017 only				0	
b	Total for prior years 20____, 20____, 20____					
3	Excess distributions carryover, if any, to 2018					
a	From 2013	3,065,586				
b	From 2014	1,921,247				
c	From 2014	2,809,543				
d	From 2016	2,405,195				
e	From 2017	1,937,388				
f	**Total** of lines 3a through e		12,138,959			
4	Qualifying distributions for 2018 from Part XII, line 4 ▶ $ 13,977,049					
a	Applied to 2017, 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 2018 distributable amount					11,053,998
e	Remaining amount distributed out of corpus		2,923,051			
5	Excess distributions carryover applied to 2018 (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		15,062,010			
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 2017 Subtract line 4a from line 2a Taxable amount—see instructions				0	
f	Undistributed income for 2018 Subtract lines 4d and 5 from line 1. This amount must be distributed in 2019					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 2013 not applied on line 5 or line 7 (see instructions)		3,065,586			
9	**Excess distributions carryover to 2019.** Subtract lines 7 and 8 from line 6a		11,996,424			
10	Analysis of line 9					
a	Excess from 2014	1,921,247				
b	Excess from 2014	2,809,543				
c	Excess from 2016	2,405,195				
d	Excess from 2017	1,937,388				
e	Excess from 2018	2,923,051				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2018, enter the date of the ruling ▶

b Check box to indicate whether the foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

	Tax year (a) 2018	Prior 3 years (b) 2017	(c) 2016	(d) 2015	(e) Total
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					0
b 85% of line 2a					0
c Qualifying distributions from Part XII, line 4 for each year listed					0
d Amounts included in line 2c not used directly for active conduct of exempt activities					0
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					0
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test—enter (1) Value of all assets					0
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					0
b "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					0
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)					0
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					0
(3) Largest amount of support from an exempt organization					0
(4) Gross investment income					0

Part XV Supplementary Information (Complete this part only if the foundation 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))

None

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

None

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., to individuals or organizations under other conditions, complete items 2a, b, c, and d See instructions

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

Statement 16

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

Statement 16

c Any submission deadlines

Statement 16

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

Statement 16

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
a *Paid during the year*				
Attached Statement 18- Accrued Per Financial				7,888,081
Total			▶ **3a**	7,888,081
b *Approved for future payment*				
Attached Statement 18-Unpaid Current Year Grants				1,995,000
Total			▶ **3b**	1,995,000

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (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					
4 Dividends and interest from securities	900099		14	967,090	
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					
8 Gain or (loss) from sales of assets other than inventory					
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a					
b Partnership Investments-Ord Inc	900099	129,265	01	2,052,223	
c Partnership Investments-Cap Gain	900099	363,366	01	14,867,347	
d Other Capital Gains	900099		01	1,854,079	
e P/Y True up to K-1's	900099		01	328,358	
12 Subtotal Add columns (b), (d), and (e)		492,631		20,069,097	0

13 **Total.** Add line 12, columns (b), (d), and (e) . . . 13 20,561,728

(See worksheet in line 13 instructions to verify calculations)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions)

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

			Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) (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)		X
	(2) Other assets	1a(2)		X
b	Other transactions			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

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

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements

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

b If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship

Sign Here

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

▶ [signature] 10/24/19 ▶ President

Signature of officer or trustee Date Title

May the IRS discuss this return with the preparer shown below? See instructions ☐ Yes ☐ No

Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
	Firm's name ▶			Firm's EIN ▶	
	Firm's address ▶			Phone no	

			Unpaid Beginning of the Year	Appropriated During Year	All Adjustments	Refunds	Paid During Year		Current Year
	City	State	Payments Scheduled	Grant Amount	Amount	Amount	Amount	Unpaid at the End of the Year	Grants Unpaid
Lead Program Clinical Neuroscience ResearchSub Total			1,475,000 00	$1,100,000 00			$1,525,000 00	1,050,000 00	
Brigham and Women's Hospital, Inc.	Boston	MA	150,000 00					150,000 00	
Icahn School of Medicine at Mount Sinai	New York	NY	100,000 00					100,000 00	
Johns Hopkins University	Baltimore	MD	100,000 00	$100,000 00			$200,000 00	0	0 00
John Wayne Cancer Center	Santa Monica	CA		$300,000 00			$150,000 00	150,000 00	150,000 00
New York Presbyterian Hospital	New York	NY	150,000 00				$150,000 00	0	
New York University School of Medicine	New York	NY	100,000.00	$200,000 00			$100,000 00	200,000 00	200,000 00
Semel Institute for Neuroscience & Human Behavior	Los Angeles	CA	150,000 00				$150,000 00	0	
Shriners Hospitals for Children	Tampa	FL	100,000 00				$100,000 00	0	
Sunnybrook Research Institute*	Toronto	Can	200,000 00	$300,000 00			$250,000 00	250,000 00	250,000 00
University College London*	London, WC1E 6BT	UK	125,000 00				$125,000 00	0	
University of California, San Diego School of Medicine	San Diego	CA	100,000 00				$100,000 00	0	
University of Delaware	Newark	DE		$200,000 00			$100,000 00	100,000 00	100,000 00
West Virginia University	Morgantown	WV	200,000 00				$100,000 00	100,000.00	
Lead Program Director Grant Sub Total				$2,117,000 00			$2,117,000 00	0	
American Academy of Arts & Sciences	Cambridge	MA		$10,000 00			$10,000 00	0	0.00
American Association for the Advancement of Science	Washington	D C		$5,000.00			$5,000.00	0	0 00
American Red Cross (FL)	West Palm Beach	FL		$10,000 00			$10,000 00	0	0 00
American Repertory Theater	Cambridge	MA		$50,000 00			$50,000 00	0	0 00
Art Base	Basalt	CO		$5,000 00			$5,000.00	0	0 00
Aspen Music Festival and School	Aspen	CO		$25,000.00			$25,000 00	0	0 00
Association for Frontotemporal Degeneration	Radnor	PA		$5,000 00			$5,000 00	0	0 00
Barnard College	New York	NY		$10,000 00			$10,000 00	0	0 00
Basilica of the National Shrine of the Immaculate Conception	Washington	D C.		$5,000 00			$5,000 00	0	0 00
Bay Street Theater	Sag Harbor	NY		$5,000 00			$5,000 00	0	0 00
Bishop John T Walker School for Boys	Washington	D C.		$5,000 00			$5,000 00	0	0 00
Blair House Restoration Fund	Washington	D C.		$5,000 00			$5,000 00	0	0 00
Boys' Club of New York	Milford	CT		$10,000 00			$10,000 00	0	0 00
Boys & Girls Club of Palm Beach County	Pine Hill	NM		$15,000 00			$15,000 00	0	0 00
Boys & Girls Clubs of Greater Washington	Pine Hill	NM		$5,000 00			$5,000 00	0	0 00
Breast Cancer Research Foundation, Inc.	New York	NY		$115,000 00			$115,000 00	0	0 00
Bridgehampton Chamber Music Associates, Inc (formerly Bridgehampton Chamber Music Festival)	NY	NY		$5,000 00			$5,000 00	0	0 00
Brunswick School	Greenwich	CT		$25,000 00			$25,000 00	0	0 00
Cambridge In America	New York	NY		$25,000.00			$25,000 00	0	0 00
Carl Schurz Park Conservancy	New York	NY		$5,000 00			$5,000 00	0	0 00
Cold Spring Harbor Laboratory	Cold Spring Harbor	NY		$80,000 00			$80,000 00	0	0 00
College of Physicians & Surgeons of Columbia University	New York	NY		$5,000 00			$5,000 00	0	0 00
Columbia Business School	New York	NY		$10,000 00			$10,000 00	0	0 00
Cristo Rey Network	Chicago	IL		$10,000 00			$10,000 00	0	0 00
Dana-Farber Cancer Institute	Palm Beach	FL		$10,000 00			$10,000 00	0	0 00
Dancesport Academy, Inc.	West Palm Beach	FL		$20,000.00			$20,000 00	0	0 00
Dartmouth College	Hanover	NH		$10,000 00			$10,000 00	0	0 00
East Hampton Healthcare Foundation	East Hampton	NY		$5,000.00			$5,000 00	0	0 00
EduStar Performing Arts Society, Inc.	Hampton	VA		$2,500 00			$2,500 00	0	0 00
ELEM/Youth In Distress In Israel	New York	NY		$4,000 00			$4,000.00	0	0 00
Fordham University	New York	NY		$5,000 00			$5,000 00	0	0 00
Foundation Fighting Blindness	Columbia	MD		$25,000 00			$25,000 00	0	0 00
Foundation Milanollo*	1007 Lausanne	SUI		$5,000 00			$5,000 00	0	0 00
French Heritage Society	New York	NY		$100,000 00			$100,000 00	0	0 00
Friends Academy	Locust Valley	NY		$5,000.00			$5,000 00	0	0 00
Friends of St. Francis Xavier University	Belmont	MA		$25,000 00			$25,000 00	0	0 00
Fund for Johns Hopkins Medicine	Baltimore	MD		$20,000 00			$20,000 00	0	0 00
Greenwich Academy	Greenwich	CT		$25,000 00			$25,000 00	0	0 00
Guild Hall of East Hampton	East Hampton	NY		$10,000 00			$10,000.00	0	0 00
Harlem Academy	New York	NY		$35,000 00			$35,000 00	0	0 00
Harvard Art Museum	Cambridge	MA		$50,000 00			$50,000 00	0	0 00
Harvard Law School Fund	Cambridge	MA		$5,000 00			$5,000 00	0	0 00
Harvard-Mahoney Neuroscience Institute	Boston	MA		$15,000 00			$15,000 00	0	0 00
Harvard Scholars at Risk	Cambridge	MA		$25,000 00			$25,000 00	0	0 00
Help Yourself Foundation	Schenectady	NY		$5,000 00			$5,000 00	0	0 00
Hopital Albert Schweitzer Haiti	Pittsburgh	PA		$10,000 00			$10,000 00	0	0 00
Hospice Foundation of Palm Beach County, Inc.	Palm Beach	FL		$5,000 00			$5,000 00	0	0 00
Hospital for Special Surgery	New York	NY		$5,000 00			$5,000 00	0	0 00

Howard University	Washington	D C.			$15,000 00						$15,000 00	0	0 00
Howard University Cancer Center	Washington	D C.			$19,000 00						$19,000 00	0	0 00
Howard University College of Medicine	Washington	D C.			$25,000 00						$25,000 00	0	0 00
Howard University Office of University Events and Protocol	Washington	DC			$5,500 00						$5,500 00	0	0 00
International Sephardic Education Foundation	New York	NY			$5,000 00						$5,000 00	0	0 00
International Society on Cartilage Repair of the Ankle	New York	NY			$6,000 00						$6,000 00	0	0 00
International Women&#39,s Health Coalition	New York	NY			$15,000 00						$15,000 00	0	0 00
Jazz at Lincoln Center	New York	NY			$5,000 00						$5,000 00	0	0 00
Joan &amp, Sanford I Weill Medical College of Cornell University	New York	NY			$5,000 00						$5,000 00	0	0 00
Jonas Philanthropies	New York	NY			$5,000 00						$5,000 00	0	0 00
Judson Memorial Church	New York	NY			$5,000 00						$5,000 00	0	0 00
LaSalle D Leffall, Jr , M D Surgical Society Foundation	Washington	D C.			$50,000 00						$50,000 00	0	0 00
Layalina Productions	Washington	D C.			$10,000 00						$10,000 00	0	0 00
Lincoln Center Theater	New York	NY			$6,000 00						$6,000 00	0	0 00
Martha&#39,s Table	Madison	WI			$5,000 00						$5,000 00	0	0 00
Martha Graham Dance Company	New York	NY			$5,000 00						$5,000 00	0	0 00
Massachusetts General Hospital	Boston	MA			$12,000 00						$12,000 00	0	0 00
Mayo Clinic	Jacksonville	FL			$50,000 00						$50,000 00	0	0 00
Medicine for Peace	Washington	DC			$5,000 00						$5,000 00	0	0 00
Middle East Investment Initiative (MEII)	Washington	D C			$105,000 00						$105,000 00	0	0 00
MorseLife Foundation, Inc	West Palm Beach	FL			$5,000 00						$5,000 00	0	0 00
Museum of Modern Art	New York	NY			$5,000 00						$5,000 00	0	0 00
National Academy of Medicine	Washington	D C.			$10,000 00						$10,000 00	0	0 00
National Gallery of Art	Washington	D C			$20,000 00						$20,000 00	0	0 00
New Jewish Home	New York	NY			$5,000 00						$5,000 00	0	0 00
Newport Hospital Foundation, Inc	Newport	RI			$25,000 00						$25,000 00	0	0 00
New York Presbyterian/Weill Cornell Medical Center	New York	NY			$5,000 00						$5,000 00	0	0 00
New York Stem Cell Foundation	New York	NY			$14,000 00						$14,000.00	0	0 00
New York Yacht Club Foundation	New York	NY			$25,000 00						$25,000 00	0	0 00
Opthalmology Research Foundation	Miami	FL			$5,000 00						$5,000 00	0	0 00
Paley Center for Media	New York	NY			$5,000 00						$5,000 00	0	0 00
Palm Beach Civic Association	Palm Beach	FL			$31,000 00						$31,000 00	0	0 00
Palm Beach Foundation, Inc	Palm Beach	FL			$10,000 00						$10,000 00	0	0 00
Palm Beach Navy Seal Evening of Tribute	Palm Beach	FL			$4,500 00						$4,500 00	0	0 00
Palm Beach Police Foundation, Inc.	Palm Beach	FL			$5,000 00						$5,000 00	0	0 00
Pardee Rand Graduate School	Santa Monica	CA			$20,000 00						$20,000 00	0	0 00
Peconic Baykeeper, Inc	Quogue	NY			$5,000 00						$5,000 00	0	0 00
Penland School of Crafts	Penland	NC			$10,000 00						$10,000 00	0	0 00
Priory in the United States of American of the Most Venerable Order of the Hospital of St. John	Washington	D C.			$10,000 00						$10,000 00	0	0 00
Public Theater	New York	NY			$5,000 00						$5,000 00	0	0 00
Ronald Reagan Presidential Foundation	Simi Valley	CA			$10,000 00						$10,000 00	0	0 00
Rosemont College	Rosemont	PA			$5,000 00						$5,000 00	0	0 00
Roxbury Latin School	West Roxbury	MA			$25,000 00						$25,000.00	0	0 00
Seafarers Foundation Inc	Bowie	MD			$1,000 00						$1,000 00	0	0 00
Skidmore College	Saratoga Springs	NY			$10,000 00						$10,000 00	0	0 00
Society of Black Academic Surgeons	Norfolk	VA			$5,000 00						$5,000 00	0	0 00
Southampton Hospital	Southampton	NY			$5,000 00						$5,000 00	0	0 00
St. Bernard's School	Pittsburgh	PA			$25,000 00						$25,000 00	0	0 00
St John&#39,s Episcopal Church DC	Staten Island	NY			$5,000 00						$5,000 00	0	0 00
St Michael&#39,s Country Day School	New York	NY			$50,000 00						$50,000 00	0	0 00
St. Thomas Choir School	New York	NY			$10,000 00						$10,000 00	0	0 00
Syracuse University, Newhouse School of Communications	Syracuse	NY			$45,000 00						$45,000 00	0	0 00
Tabor Academy	Marion	MA			$5,000 00						$5,000 00	0	0 00
The Aspen Institute	Washington	D C.			$25,000 00						$25,000 00	0	0 00
The Brearley School	New York	NY			$25,000 00						$25,000.00	0	0 00
The City College of New York	New York	NY			$7,500 00						$7,500 00	0	0 00
The Corning Museum of Glass	Corning	NY			$10,000 00						$10,000 00	0	0 00
The Council on Foreign Relations	New York	NY			$25,000 00						$25,000 00	0	0 00
The Green Vale School	Old Brookville	NY			$3,000 00						$3,000 00	0	0 00
The Hotchkiss School	Lakeville	CT			$5,000 00						$5,000 00	0	0 00
The Lymphoma Foundation	New York	NY			$5,000 00						$5,000 00	0	0 00
The Nature Conservancy	Arlington	VA			$40,000 00						$40,000 00	0	0 00
The Preservation Foundation of Palm Beach	Palm Beach	FL			$10,000 00						$10,000 00	0	0 00
The Reading Team, Inc.	New York	NY			$150,000.00						$150,000.00	0	0 00
The Society of the Four Arts	Palm Beach	FL			$10,000 00						$10,000 00	0	0 00
The Winsor School	Boston	MA			$25,000 00						$25,000 00	0	0 00

Timanous Foundation	Branford	CT			$30,000 00						$30,000 00	0	0 00
United Jewish Association/Federation of Jewish Philanthropies	New York	NY			$25,000 00						$25,000 00	0	0 00
University of Virginia	Charlottesville	VA			$20,000 00						$20,000 00	0	0 00
University of Virginia School of Law	Charlottesville	VA			$25,000 00						$25,000 00	0	0 00
UrbanGlass	Brooklyn	NY			$10,000 00						$10,000 00	0	0 00
Washington National Cathedral	Washington	D C			$5,000 00						$5,000 00	0	0 00
Woodley House (formerly Potomac Residence Club)	Washington	D C.			$1,000 00						$1,000 00	0	0 00
Lead Program EMPLOYEE GIFT MATCHING PROGRAM Sub Total					$15,544 00						$15,544 00	0	0 00
Blue Hill Memorial Hospital Foundation	Blue Hill	ME			$600 00						$600.00	0	0 00
CHS North American Foundation, Inc.	New York	NY			$2,000 00						$2,000 00	0	0 00
Church of God Agape	Bronx	NY			$200 00						$200 00	0	0 00
City College 21st Century Foundation	New York	NY			$600 00						$600 00	0	0 00
Madison Avenue Presbyterian Church	New York	NY			$150 00						$150 00	0	0 00
National Multiple Sclerosis Society- NYC &amp, Southern NY Chapter	New York	NY			$5,000 00						$5 000 00	0	0 00
Rockland Community Foundation	New York	NY			$1,000.00						$1,000 00	0	0 00
St Peter's Prep HS	Memphis	TN			$194 00						$194 00	0	0 00
The College of Physicians of Philadelphia	Philadelphia	PA			$5,000 00						$5 000 00	0	0 00
The Michael J Fox Foundation	New York	NY			$500 00						$500 00	0	0 00
The Wetlands Institute	Stone Harbor	NJ			$100 00						$100.00	0	0 00
Trustees of Hamilton College	Clinton	NY			$200 00						$200 00	0	0 00
Lead Program Employee matching gift program					$700 00						$700 00	0	0 00
The Brearley School	New York	NY			$300 00						$300 00	0	0 00
The Michael J Fox Foundation	New York	NY			$400 00						$400 00	0	0 00
Lead Program Imaging Sub Total			2,840,000 00		$1,400,000 00		($2 089 64)		($2 089 64)		$1,650,000 00	2,590,000 00	
Baylor College of Medicine	Houston	TX	100,000 00								$100,000 00	0	
Beth Israel Deaconess Medical Center	Boston	MA	100,000 00								$100,000 00	0	
Cleveland Clinic Foundation	Cleveland	OH	150,000.00								$50,000 00	100,000 00	
Colorado State University	Fort Collins	CO	150,000 00								$50,000 00	100,000 00	
Duke University School of Medicine	Durham	NC	100,000 00								$100,000 00	0	
Icahn School of Medicine at Mount Sinai	New York	NY			$200,000 00						$50,000 00	150,000.00	150,000 00
Massachusetts Institute of Technology	Baltimore	MD	200,000 00								$100,000 00	100,000 00	
Medical University of South Carolina	Charleston	SC					($2,089 64)		($2,089 64)			0	
Memorial Sloan Kettering Cancer Center	New York	NY	100,000 00								$100,000 00	0	
New York University School of Medicine	New York	NY	150,000 00		$200,000 00						$100,000 00	250,000 00	200,000 00
Research Foundation for Mental Hygiene (Columbia)	New York	NY	150,000 00								$50,000 00	100,000 00	
Research Foundation for SUNY at University at Buffalo	Buffalo	NY	150,000 00								$50,000.00	100,000 00	
Stanford University	Stanford	CA	200,000 00								$100,000 00	100,000 00	
Stanford University School of Medicine	Stanford	CA	100,000 00									100,000 00	
SUNY Stony Brook School of Medicine	Stony Brook	NY	100,000 00									100,000 00	
The Perelman School of Medicine at The University of Pennsylvania	Philadelphia	PA			$200,000 00							200,000 00	200,000 00
The Salk Institute for Biological Studies	La Jolla	CA	100,000 00								$100,000 00	0	
The Scripps Research Institute	La Jolla	CA			$200,000 00						$50,000 00	150,000 00	150,000 00
The Trustees of Columbia University in the City of New York	New York	NY			$200,000 00						$50,000 00	150,000 00	150,000 00
University of California, San Diego School of Medicine	San Diego	CA	140,000 00								$100,000 00	40,000 00	
University of California, San Francisco, School of Medicine	San Francisco	CA	200,000 00								$100,000 00	100,000 00	
University of Colorado Boulder	Boulder	CO			$200,000 00							200,000 00	200,000 00
University of Michigan	Ann Arbor	MI	150,000 00								$50,000 00	100,000.00	
University of Michigan Medical School	Ann Arbor	MI	200,000 00								$50,000 00	150,000 00	
University of Rochester	Rochester	NY	100,000 00									100,000 00	
University of Washington	Seattle	WA			$200,000 00							200,000 00	200,000 00
UT Southwestern Medical Center	Dallas	TX	100,000 00								$100,000 00	0	
Yale University	New Haven	CT	100,000 00								$100,000 00	0	
Lead Program Neuroscience-Related			662,625 00		$483,700 00		($37 704 58)		($27,309 58)		$650,830 00	485,000 00	
American Association for the Advancement of Science	Washington	D C.			$157,500 00		($27 309 58)		($27,309 58)		$157,500 00	0	0 00
American Museum of Natural History	New York	NY			$5,000 00						$5,000 00	0	0 00
Americans for Oxford, Inc.	New York	NY			$10,000 00						$10,000 00	0	0 00
Blue Hill Memorial Hospital	Blue Hill	ME			$100 00						$100.00	0	0 00
Brooklyn Botanic Garden	Brooklyn	NY			$2,500 00						$2,500 00	0	0 00
Concern Worldwide (US) Inc.	New York	NY			$25,000 00						$25,000 00	0	0 00
Dana Farber Cancer Institute	Palm Beach	FL	500,000 00								$100,000.00	400,000 00	
Federation of European Neuroscience Societies (FENS)*	D-13125 Berlin	DEU			$35,000 00							35,000 00	35,000 00
Frick Collection	New York	NY			$5,000 00						$5,000 00	0	0 00
International Neuroethics Society	Philadelphia	PA			$104,000 00						$104,000 00	0	0 00
Medstar Health Inc	Columbia	MD			$2,000 00						$2,000 00	0	0 00
Metropolitan Museum of Art	New York	NY			$3,000 00						$3,000 00	0	0 00
Metropolitan Opera Association	New York	NY			$2,500 00						$2,500 00	0	0 00

Morgan Library & Museum	New York	NY			$7,500 00						$7,500 00	0	0 00
Museum of Modern Art	New York	NY			$3,000 00						$3,000.00	0	0 00
Museum of the City of New York	New York	NY			$2,500 00						$2,500.00	0	0 00
Neue Galerie New York	New York	NY			$5,000 00						$5,000.00	0	0 00
New York Botanical Garden	Bronx	NY			$2,500 00						$2,500 00	0	0 00
New York Philharmonic	New York	NY			$5,000 00						$5,000 00	0	0 00
Nonprofit Coordinating Committee of New York	New York	NY			$25,000 00						$25,000 00	0	0 00
ResearchIAmerica	Alexandria	VA			$20,000 00						$20,000 00	0	0 00
Royal Society*	London	UK	77,625 00				($10 395 00)				$67,230 00	0	
Rubin Museum of Art	New York	NY			$5,000 00						$5,000 00	0	0 00
Shriners Hospitals for Children	Tampa	FL			$100 00						$100 00	0	0 00
Society for Neuroscience (SfN)	Washington	DC	85,000 00		$10,000 00						$45,000 00	50,000 00	10,000 00
Solomon R Guggenheim Foundation	New York	NY			$5,000 00						$5,000 00	0	0 00
The Brooklyn Museum	Brooklyn	NY			$2,500 00						$2,500.00	0	0 00
The Jewish Museum	New York	NY			$5,000 00						$5,000 00	0	0 00
The University of Texas at Austin	Austin	TX			$25,000 00						$25,000 00	0	0 00
Whitney Museum of American Art	New York	NY			$5,000 00						$5,000 00	0	0 00
Wildlife Conservation Society	Bronx	NY			$4,000 00						$4,000 00	0	0 00
Grand Total			4,977,625 00		$5,116,944 00		($39 794 22)		($29 399.22)		$5,959,174 00	4,125,000 00	1,995,000 00
Adjustments					($39,794 22)								
Refunds											($29,399 72)		
DABI Grant					$2,810,931 00						$2,810,931 00		
Total Grants per Column a and d Page1 Line 25					$7,888,080 78						$8,740,705 78		
Part XV Line 3a					$7,888,080 78								
Part XV Line3b													1,935,000 00
All Grants are coded PC unless otherwise noted by an "*"													
* Equivalency Determination made													

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

Year 2018

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, 810,931 were paid to Dana Alliance during 2018

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, 2018 the entire grant had been expended by Dana Alliance.

5. To the knowledge of the taxpaper, 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 2018 Annual Report in June 2019

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 taxpaper expenditure responsibility.

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

		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
		410,438	274,112	313,986	136,326	96,452	96,452
	Asset Description						
1	Leasehold Improvements	410,438	274,112	313,986	136,326	96,452	96,452

Statement 8

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

	Asset Description	Book Value Beg of Year	Book Value End of Year	FMV End of Year
		446,130	259,996	259,996
1	Prepaid Expenses	130,113	129,591	129,591
2	Security Deposits	130,405	130,405	130,405
3	Prepaid Taxes	185,612		

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

		5,375,438	4,796,264
	Description	Beginning Balance	Ending Balance
1	Deferred Taxes	1,100,000	400,000
2	Deferred Rent	235,868	166,446
3	Postretirement Benefit Obligation	4,039,570	3,945,818
4	UBIT Payable		60,000
5	NYS Inc Tax Payable		24,000
6	Federal Excise Tax Payable		200,000

Statement 1

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

		19,594,638	17,897,519	0
	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income
1	Partnership Income-ordinary see statement 1a	2,181,488	1,545,385	
2	Partnership Income-capital gain see statement 1a	15,230,713	14,675,629	
3	Capital Gains (Losses)-other see statement 10	1,854,079	1,689,971	
4	P/Y True-up to Income to 2017 K-1"s	328,358	0	
5	Divd Reported 2017 Tax Return		-13,466	
6	Divd Reported 2018 Tax Return		0	
7				
8				
9				

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

		2,651	0	0	3,889
	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	Epstein Becker, Green	1,547			1,547
2	CT Corp	1,104			1,104
3	Robinson Cole	0			1,238

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

		58,552	27,294	0	31,258
	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	54,587	27,294		27,29[illegible]
2	Preferred Pension	3,965			3,96[illegible]

The Charles A Dana Foundation, Incorporated
Form 990PF
06-6036761
2018 Partnership/Trust Income
Part 1 Line 11

Statement 1a

	Ein #	Column (a) Income Per Books	Column (b) Net Investment Income Net of UBTI Per Actual K-1	UBTI	Taxable Income Per K-1
Knightsbridge Venture Capital	20-1463725	217,445	$243,296	-$3	$243,293
Abbott Capital Fund IV	36-7045759	185,896	140,408	18,927	$159,335
Abbott Capital Fund V	20-2896577	243,314	130,967	39,148	$170,115
Abbott Capital Fund VI	26-2293853	678,809	642,011	8,072	$650,083
Adamas Opportunities L.P. (1 Yr)	04-3514360	136,785	56,886	33,707	$90,593
Adamas Opportunities L.P. (3 Yr)	04-3514360		66,575	35,359	$101,934
Adamas Partners L.P.	04-3514358	351,136	418,502	49,891	$468,393
Davidson Kempner	13-3597020	1,143,757	1,144,943	-1,186	$1,143,757
TIFF Partners III L.P.	58-2426874	-24,734	-21,900	-63	-$21,963
TIFF Partners IV L.P.	54-2007544	62,826	63,640	0	$63,640
Oak Hill Capital Partners Bermuda	52-2265365	-107	0	0	$0
Oak Hill Capital Partners	22-3624482	0	-107	0	-$107
Silchester	36-7045759	1,097,534	1,097,534	0	$1,097,534
TIFF Secondary Partners (TSP) TIFF I	56-2384583	-32,186	-32,186	0	-32,186
Commonfund Private Equity-VI	16-1720029	284,763	248,679	36,084	284,763
Commonfund Private Equity- VII	20-8306306	724,327	683,546	40,781	724,327
Commonfund International Private Equity VI	20-8306365	948,906	940,337	8,569	948,906
Commonfund Capital Venture Partners VIII	11-3814030	594,720	594,784	-64	594,720
Brandywine Global Opportunistic Absolute Return	46-1858165	243,522	243,522		243,522
Adage Capital	04-3574590	8,629,060	8,629,660		8,629,660
Forester Capital-B	13-4079780	497,075	360,816	133,314	494,130
1607 Capital Partners	26-1761983	576,486	-309,984		-309,984
Aberdeen Real Assets (Flag Real Assets)	20-8736989	-4,940	107,364	17,893	125,257
Newport Asia	06-6036761	546,569	546,569		546,569
Commonfund Capital Natl Resources Partners IX	37-1656529	21,250	58,012	-36,762	21,250
Harvest MLP Inc Fund LLC	27-2968896	-47,822	-271,179	223,357	-47,822
Wellington CTFt Emerging Mkt Opp	44-1454454	497,896	497,896		497,896
TrueBridge	82-2022561	-26,215	-38,644	-286	-38,930
Encap Flatrock Midstream V	82-2890021	-118,871	-4,773	-114,098	-118,871
Kline Hill Ptrs	82-4035378	-15,000	-16,160	-9	-16,169
Partnership Income		$17,412,201	$16,221,014	$492,631	$16,713,645

	Column (a)	Column (b)
Ordinary Income	$2,181,488	$1,545,385
Capital Gain	15,230,713	14,675,629
Total	$17,412,201	$16,221,014

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

		1,157,074	672,428	0	479,991
	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	Dr Mckhann	225,000			225,000
2	Dr Blakemore	50,000			50,000
3	Dr Magistetti	35,000			35,000
4	Freelance Writers	18,716			18,716
5	Misc	11,230			11,230
6	Honoraria and Reviews- Less Than $5,000	89,700			89,700
7	Dr Treisman	12,500			12,500
8	Dr Albert	25,000			25,000
9	Cambridge Assoc	220,588	220,588		0
10	Silchester	140,830	140,830		0
11	Wellington	75,282	75,282		0
12	Eagle Management Advisors	157,408	157,408		0
13	BrandyWine Fund	42,896	42,896		0
14	JP Morgan Chase	13,211	13,211		0
15	Dr Boatman	17,500			17,500
16	First Republic	22,213	22,213		0
17	Cash to Accrual Adj	0			-4,655

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

		484,143	0	0	0
	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	US Excise Tax	386,143			
2	US UBT	28,000			
3	NYS Tax	70,000			

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

	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
							39,874	0	0
1	Leasehold Improvements NYO	various	various	various	410,438	274,112	39,874		

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

		384,169	38,137	0	343,575
	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	Insurance	73,677	7,368		65,179
2	Computers	232,081	23,208		210,316
3	Dues/Subscription	8,060	806		7,254
4	Filing Fees	2,803	0		2,803
5	Prof Devel	15,456	1,546		13,910
6	Office Expense	28,446	2,845		22,831
7	Miscellaneous	6,396	640		5,756
8	Telephone-Fax-Copier	17,252	1,725		15,527
9	Rounding	-2	-1		-1

Charles A Dana Foundation
Form 990 PF-Part II **Statement 5**
06-6036761
Year 2018

	Line	column a Book Value	column b Book Value	column c Fair Value
Corporate Stock	**10b**			
Equities- See Attached 5a- 2018		$18,223,420	$17,816,363	$17,816,363
Sub-total		18,223,420	17,816,363	17,816,363
Mutual Funds :				
Osterweis Strategic Income Fund		4,073,719	2,068,475	2,068,475
Vanguard Global Strategies		4,769,739	0	0
Vanguard Emerging Markets		0	4,289,753	4,289,753
Vanguard Short Term Treasury		6,140,763	13,924,614	13,924,614
Sub-total		14,984,221	20,282,842	20,282,842
Total Corporate and Mutual Funds Stock	10b	$33,207,641	$38,099,205	$38,099,205

The Charles A. Dana Foundation, Incorporated

Statement 14

06-6036761

Year 2018

Form 990-PF

Part VIII, Line 2

List of Highest Paid Employees

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Carolyn Asbury 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Snr Consultant 35 Hours	$215,250	$43,941	$0
James Rutt 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director, IT 24 Hours	175,525	72,521	0
Mary Lucas 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Grants Manager 35 Hours	113,900	42,632	0
Patricia Mangini 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Dir Human Resources 32 Hours	87,600	52,835	0
Brigida Gay 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Controller 32 Hours	85,800	40,263	0
		$678,075	$252,192	$0

The Charles A. Dana Foundation, Incorporated
06-6036761
2018

Statement 15
Form 990-PF, Part IX-A
Summary of Four Largest Direct Charitable Activities: **Total Expenses: $5,236,343**

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 2018 charitable gifts awarded and paid by the Foundation are listed in Statement 18.

Expenses: $2,029,844

OUTREACH--WEBSITE: The Dana Foundation website features weekly stories on brain science; blog posts; a user-friendly search engine; grants information; subscription features; links to social media; and all Foundation publications. The website includes regularly edited resource sections, including audience pages for kids, seniors, educators, and patients and caregivers, as well as a section on neuroethics. The European Dana Alliance for the Brain website provides access to publications in multiple languages and links to international neuroscience research organizations. The Brain Awareness Week website offers partners and the public access to the international calendar; free downloadable materials; educational resources; and information about the annual campaign.

Expenses: $1,346,712

The Charles A. Dana Foundation, Incorporated
06-6036761
2018

OUTREACH--PUBLICATIONS: Each month, the Foundation publishes *Brain in the News* (BITN) and *Cerebrum*. BITN is published in print, and *Cerebrum* is an online journal. Also online, are The Foundation's various on journals, articles and other current information on neuroscience.

Expenses: $1,258,672

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 2018, the Foundation: (1) published three briefing papers and six grantee Q&A's, and recorded eleven 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) maintained the online Expert Directory of Dana Alliance members, specifically for the media. The Foundation coordinated the second annual 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: $601,115

Statement 16
1 of 12

Form 990PF
2018
Part VII-A
Question 3

I hereby certify that the attached documents are complete and accurate copies of the original documents.

Burton M. Mirsky
President