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

OMB No 1545-0052

**2015**

**Open to Public Inspection**

**For calendar year 2015 or tax year beginning , 2015, and ending , 20**

| Name of foundation | A Employer identification number |
|---|---|
| DORIS DUKE CHARITABLE FOUNDATION | 13-7043679 |
| **Number and street (or P O box number if mail is not delivered to street address)** / **Room/suite** | **B Telephone number (see instructions)** |
| 650 FIFTH AVENUE, 19TH FLOOR | (908) 243-3619 |
| **City or town, state or province, country, and ZIP or foreign postal code** | **C** If exemption application is pending, check here . . . . . ▶ ☐ |
| NEW YORK, NY 10019 | |

**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)* ▶ $ 1,737,202,672

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

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

| **Part I** | **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions) )* | (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 | 38,262. | 38,262. | | |
| | 4 Dividends and interest from securities | 8,446,135 | 25,258,362 | | |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) _____ | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 89,069,515. | | | |
| | b Gross sales price for all assets on line 6a 651,358,150 | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 92,576,712. | | |
| | 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) ATCH 1 | 25,558. | 3,523,542 | | |
| | 12 **Total.** Add lines 1 through 11 | 97,579,470 | 121,396,878 | 0 | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 578,002. | | | 563,002. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) ATCH 2 | 20,743. | | | 10,688 |
| | b Accounting fees (attach schedule) | | | | |
| | c Other professional fees (attach schedule) [3] | 5,988,151. | 5,909,562. | | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see instructions) [4] | 1,905,574 | | | |
| | 19 Depreciation (attach schedule) and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | 17,946 | | | 17,315. |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) ATCH 5 | 8,139,758 | 15,757,244. | | 8,154,364. |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 16,650,174. | 21,666,806. | | 8,745,369. |
| | 25 Contributions, gifts, grants paid | 98,974,177. | | | 82,997,781 |
| | 26 **Total expenses and disbursements.** Add lines 24 and 25 | 115,624,351. | 21,666,806. | 0. | 91,743,150 |
| | 27 Subtract line 26 from line 12 | | | | |
| | a **Excess of revenue over expenses and disbursements** | -18,044,881. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 99,730,072. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | 0. | |

SCANNED NOV 21 2016

RECEIVED NOV 1 8 2016 OGDEN UT

**Part II Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)

| | | Beginning of year | End of year | |
|---|---|---|---|---|
| | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 Cash - non-interest-bearing | 3,853,887. | 1,587,568. | 1,587,568. |
| | 2 Savings and temporary cash investments | 45,364,888. | 30,107,462 | 30,107,462. |
| | 3 Accounts receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 4 Pledges receivable ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| | 5 Grants receivable | 2,669,967. | 2,672,715 | 2,672,715. |
| | 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 | 1,085,384. | 1,140,087. | 1,140,087. |
| | 10a Investments - U S and state government obligations (attach schedule) | | | |
| | b Investments - corporate stock (attach schedule) ATCH 6 | 390,816,885. | 341,478,258 | 341,478,258. |
| | c Investments - corporate bonds (attach schedule) ATCH 7 | 51,276,115. | 40,575,599. | 40,575,599 |
| | 11 Investments - land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other (attach schedule) ATCH 8 | 1,263,991,225 | 1,296,539,469. | 1,296,539,469. |
| | 14 Land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶ | | | |
| | 15 Other assets (describe ▶ ATCH 9 ) | 37,792,771. | 23,101,514. | 23,101,514. |
| | 16 **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I) | 1,796,851,122 | 1,737,202,672 | 1,737,202,672 |
| Liabilities | 17 Accounts payable and accrued expenses | 1,055,819. | 1,030,919. | |
| | 18 Grants payable | 63,619,965. | 72,076,674. | |
| | 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 ▶ ATCH 10 ) | 28,301,644. | 21,416,983 | |
| | 23 **Total liabilities** (add lines 17 through 22) | 92,977,428 | 94,524,576. | |
| 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 | 1,703,873,694. | 1,642,678,096 | |
| | 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) | 1,703,873,694 | 1,642,678,096 | |
| | 31 **Total liabilities and net assets/fund balances** (see instructions) | 1,796,851,122. | 1,737,202,672. | |

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

| | | | |
|---|---|---|---|
| 1 | Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 1,703,873,694. |
| 2 | Enter amount from Part I, line 27a | 2 | -18,044,881. |
| 3 | Other increases not included in line 2 (itemize) ▶ ATCH 11 | 3 | -43,150,717. |
| 4 | Add lines 1, 2, and 3 | 4 | 1,642,678,096 |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 1,642,678,096. |

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

| | | | |
|---|---|---|---|
| 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 | 92,576,712. |
| 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 does not qualify under section 4940(e). Do not complete this part.

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col. (b) divided by col. (c)) |
|---|---|---|---|
| 2014 | 88,040,166 | 1,754,808,008. | 0.050171 |
| 2013 | 83,234,494 | 1,645,344,824. | 0.050588 |
| 2012 | 86,576,154. | 1,559,889,084. | 0.055501 |
| 2011 | 84,732,632. | 1,596,811,002 | 0.053064 |
| 2010 | 85,259,405 | 1,507,779,999. | 0.056546 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | 0.265870 |
| 3 | Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | 0.053174 |
| 4 | Enter the net value of noncharitable-use assets for 2015 from Part X, line 5 | 4 | 1,768,665,149 |
| 5 | Multiply line 4 by line 3 | 5 | 94,047,001. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 997,301. |
| 7 | Add lines 5 and 6 | 7 | 95,044,302. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 91,476,013. |

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 | 1,994,601. |
| 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 | |
| 3 | Add lines 1 and 2 | 3 | 1,994,601. |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 4 | 0 |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0- | 5 | 1,994,601 |
| 6 | Credits/Payments: | | |
| a | 2015 estimated tax payments and 2014 overpayment credited to 2015 — 6a: 2,793,054 | | |
| b | Exempt foreign organizations - tax withheld at source — 6b: | | |
| c | Tax paid with application for extension of time to file (Form 8868) — 6c: | | |
| d | Backup withholding erroneously withheld — 6d: | | |
| 7 | Total credits and payments Add lines 6a through 6d | 7 | 2,793,054 |
| 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 | |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | 10 | 798,453 |
| 11 | Enter the amount of line 10 to be: **Credited to 2016 estimated tax** ▶ 798,453. **Refunded** ▶ | 11 | |

**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 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 ▶ $ 0 (2) On foundation managers ▶ $ 0. | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ 0 | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? *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* | 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) ▶ 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 2015 or the taxable year beginning in 2015 (see 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) | 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 DDCF.ORG

14 The books are in care of ▶ EILEEN OBERLANDER Telephone no ▶ 908-243-3619
Located at ▶ 1112 DUKES PARKWAY WEST HILLSBOROUGH, NJ ZIP+4 ▶ 08844

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 2015, 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**

| | | | Yes | No |
|---|---|---|---|---|
| | **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 | | 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 2015? | 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 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? ☐ Yes ☒ No | | | |
| | If "Yes," list the years ▶ _____, _____, _____, _____ | | | |
| 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 ▶ _____, _____, _____, _____ | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 2015 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 2015 )* | 3b | | |
| 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 2015? | 4b | | X |

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

| | | | | |
|---|---|---|---|---|
| 5a | During the year did the foundation pay or incur any amount to: | | | |
| | (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No | | | |
| | (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No | | | |
| | (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No | | | |
| | (4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions) ☒ Yes ☐ No | | | |
| | (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No | | | |
| b | If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? | 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? ATCH 12 ☒ 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 | | |

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| ATCH 13 | | 563,002 | 0. | 0. |
| | | | | |
| | | | | |
| | | | | |

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

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

**Total** number of other employees paid over $50,000 ▶

**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 |
|---|---|---|
| ATCH 14 | | 1,782,927 |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services ▶ | | 7 |

**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 SEE ATTACHMENTS 17 & 18 | 515,334. |
| 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 NONE | |
| 2 | |
| All other program-related investments See instructions | |
| 3 NONE | |
| **Total.** Add lines 1 through 3 ▶ | |

**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 | 1,754,077,521. |
| b | Average of monthly cash balances | 1b | 41,521,615. |
| c | Fair market value of all other assets (see instructions) | 1c | |
| d | **Total** (add lines 1a, b, and c) | 1d | 1,795,599,136. |
| 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 | 1,795,599,136 |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 26,933,987. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 1,768,665,149. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 88,433,257. |

**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 | 88,433,257. |
| 2a | Tax on investment income for 2015 from Part VI, line 5 | 2a | 1,994,601. | | |
| b | Income tax for 2015. (This does not include the tax from Part VI) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 1,994,601 |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | | 3 | 86,438,656 |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | 96,288. |
| 5 | Add lines 3 and 4 | | | 5 | 86,534,944. |
| 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 | 86,534,944. |

**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 | 91,476,013. |
| 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 | 91,476,013 |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions) | 5 | 0. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 91,476,013. |

**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 2014 | (c) 2014 | (d) 2015 |
|---|---|---|---|---|
| 1 Distributable amount for 2015 from Part XI, line 7 | | | | 86,534,944. |
| 2 Undistributed income, if any, as of the end of 2015 | | | | |
| a Enter amount for 2014 only | | | | |
| b Total for prior years 20 13 ,20 12 ,20 11 | | | | |
| 3 Excess distributions carryover, if any, to 2015: | | | | |
| a From 2010 | | | | |
| b From 2011 | | | | |
| c From 2012 1,487,150. | | | | |
| d From 2013 2,764,142. | | | | |
| e From 2014 1,801,249. | | | | |
| f **Total** of lines 3a through e | 6,052,541 | | | |
| 4 Qualifying distributions for 2015 from Part XII, line 4: ▶ $ 91,476,013 | | | | |
| a Applied to 2014, 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 2015 distributable amount | | | | 86,534,944 |
| e *Remaining amount distributed out of corpus* | 4,941,069. | | | |
| 5 Excess distributions carryover applied to 2015 *(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 | 10,993,610. | | | |
| b Prior years' undistributed income Subtract line 4b from line 2b | | | | |
| 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 2014 Subtract line 4a from line 2a Taxable amount - see instructions | | | | |
| f Undistributed income for 2015 Subtract lines 4d and 5 from line 1. This amount must be distributed in 2016 | | | | |
| 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 2010 not applied on line 5 or line 7 (see instructions) | | | | |
| 9 **Excess distributions carryover to 2016.** Subtract lines 7 and 8 from line 6a | 10,993,610. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2011 | | | | |
| b Excess from 2012 1,487,150. | | | | |
| c Excess from 2013 2,764,142. | | | | |
| d Excess from 2014 1,801,249. | | | | |
| e Excess from 2015 4,941,069. | | | | |

**Part XIV Private Operating Foundations** (see instructions and Part VII-A, question 9) NOT APPLICABLE

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2015, 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 | Prior 3 years | | | (e) Total |
|---|---|---|---|---|---|
| | (a) 2015 | (b) 2014 | (c) 2013 | (d) 2012 | |
| 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 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).)

N/A

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.

N/A

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

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

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

N/A

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

SEE ATTACHMENT 19

c Any submission deadlines:

SEE ATTACHMENT 19

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

SEE ATTACHMENT 19

**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* | | | | |
| SEE ATTACHMENT 16 | | | | 82,997,781 |
| **Total** ▶ **3a** | | | | 82,997,781. |
| **b** *Approved for future payment* | | | | |
| SEE ATTACHMENT 16A | | | | 40,940,381. |
| **Total** ▶ **3b** | | | | 40,940,381. |

**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 | | | 14 | 38,262. | |
| 4 Dividends and interest from securities | | | 14 | 8,446,135. | |
| 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 | | | 18 | 89,069,515. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue: a | | | | | |
| b ATCH 15 | | | | 25,558. | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | | | 97,579,470 | |
| 13 **Total.** Add line 12, columns (b), (d), and (e) | | | | 13 | 97,579,470 |

(See worksheet in line 13 instructions to verify calculations )

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

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

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

| | | | Yes | No |
|---|---|---|---|---|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| | (1) Cash | 1a(1) | | 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 |
|---|---|---|---|
| | N/A | | N/A |

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

b If "Yes," complete the following schedule.

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

**Sign Here**

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

▶ Edward P. Henry — Signature of officer or trustee
11-11-16 — Date
▶ Prior CEO — 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 |
|---|---|---|---|---|
| SCOTT THOMPSETT | Scott Thompsett | 11/14/2016 | | P00741490 |

Firm's name ▶ GRANT THORNTON LLP — Firm's EIN ▶ 36-6055558
Firm's address ▶ 757 THIRD AVE 3RD FLOOR NEW YORK, NY 10017-2013 — Phone no. 212-599-0100

# FORM 990-PF - PART IV
## CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

| Kind of Property | | Description | | | | P or D | Date acquired | Date sold |
|---|---|---|---|---|---|---|---|---|
| Gross sale price less expenses of sale | Depreciation allowed/ allowable | Cost or other basis | FMV as of 12/31/69 | Adj. basis as of 12/31/69 | Excess of FMV over adj basis | | Gain or (loss) | |
| | | SEE ATTACHMENT 20 | | | | | 92576712. | |
| TOTAL GAIN(LOSS) . . . . | | . . . . . | | | | | 92576712. | |

ATTACHMENT 1

FORM 990PF, PART I - OTHER INCOME

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME |
|---|---|---|---|
| STATE WITHHOLDING TAX REFUNDS | 23,198. | | |
| MISCELLANEOUS INCOME | 2,360. | 2,360. | |
| FLOW THROUGH INCOME FROM INVESTMENTS IN LIMITED PARTNERSHIPS | | 4,641,443. | |
| LESS INVESTMENT GAINS REPORTED AS UNRELATED BUSINESS INCOME ON 990-T | | -1,120,261. | |
| TOTALS | 25,558. | 3,523,542. | |

ATTACHMENT 2

FORM 990PF, PART I - LEGAL FEES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME | CHARITABLE PURPOSES |
|---|---|---|---|---|
| SCHENCK, PRICE, SMITH & KING LLP | 5,430. | | | |
| JONES DAY | 13,313. | | | 10,688. |
| FRIED, FRANK, HARRIS, SHRIVER & JACOBSON LLP | 2,000. | | | |
| TOTALS | 20,743. | | | 10,688. |

ATTACHMENT 3

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME | CHARITABLE PURPOSES |
|---|---|---|---|---|
| CUSTODY FEES | 530,661. | 530,661. | | |
| MANAGERS BASE FEES | 1,941,234. | 1,941,234. | | |
| INVESTMENT ADVISORY FEES | 435,649. | 435,649. | | |
| OTHER INVESTMENT EXPENSES | 3,050,859. | 3,050,859. | | |
| INVESTMENT MGMT FEES ALLOCATED TO DDF (ON ITS HOLDINGS) | -28,132. | -28,132. | | |
| BANK FEES | 22,013. | 22,013. | | |
| SECURITIES LENDING EXPENSE | 13,699. | 13,699. | | |
| CONSULTING | 22,168. | 21,030. | | |
| LESS ALLOCATED INVESTMENT FEES REPORTED ON 990T | | -77,451. | | |
| TOTALS | 5,988,151. | 5,909,562. | | |

ATTACHMENT 4

FORM 990PF, PART I - TAXES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME | CHARITABLE PURPOSES |
|---|---|---|---|---|
| CURRENT & DEFERRED FEDERAL EXCISE TAX | 1,905,574. | | | |
| TOTALS | 1,905,574. | | | |

ATTACHMENT 5

FORM 990PF, PART I - OTHER EXPENSES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME | CHARITABLE PURPOSES |
|---|---|---|---|---|
| MANAGEMENT FEES | 8,057,123. | | | 8,072,353. |
| INSURANCE | 79,825. | | | 79,825. |
| FILING FEES | 1,510. | | | 1,510. |
| MISCELLANEOUS OFFICE EXPENSES | 698. | | | 676. |
| PENALTIES | 602. | | | |
| FLOW-THROUGH EXPENSES FROM INVESTMENTS IN LIMITED PARTNERSHIPS | | 15,757,244. | | |
| TOTALS | 8,139,758. | 15,757,244. | | 8,154,364. |

ATTACHMENT 6

FORM 990PF, PART II - CORPORATE STOCK

| DESCRIPTION | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|
| EQUITY INVESTMENTS | 45,549,832. | 45,549,832. |
| COMMINGLED INVESTMENTS | 295,928,426. | 295,928,426. |
| TOTALS | 341,478,258. | 341,478,258. |

ATTACHMENT 7

FORM 990PF, PART II - CORPORATE BONDS

| DESCRIPTION | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|
| FIXED INCOME INVESTMENTS | 44,674,299. | 44,674,299. |
| LESS FIXED INCOME INVESTMENT ALLOCATED TO DORIS DUKE FOUNDATION | -4,098,700. | -4,098,700. |
| TOTALS | 40,575,599. | 40,575,599. |

ATTACHMENT 8

FORM 990PF, PART II - OTHER INVESTMENTS

| DESCRIPTION | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|
| MULTI-STRATEGY ALTERNATIVES | 350,379,374. | 350,379,374. |
| PRIVATE EQUITY INVESTMENTS | 390,931,290. | 390,931,290. |
| DISTRESSED/HIGH YIELD | 126,058,849. | 126,058,849. |
| FUND OF FUNDS | 75,626,282. | 75,626,282. |
| BUYOUTS/GROWTH NON-MARKETABLE | 115,480,606. | 115,480,606. |
| VENTURE CAPITAL | 137,589,260. | 137,589,260. |
| DISTRESSED NON-MARKETABLE ALT | 2,902,425. | 2,902,425. |
| REAL ASSETS | 97,571,383. | 97,571,383. |
| TOTALS | 1,296,539,469. | 1,296,539,469. |

ATTACHMENT 9

FORM 990PF, PART II - OTHER ASSETS

| DESCRIPTION | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|
| SALES COMMITMENT RECEIVABLE | 21,811,457. | 21,811,457. |
| INTEREST RECEIVABLE | 270,276. | 270,276. |
| DIVIDENDS RECEIVABLE | 507,304. | 507,304. |
| TAX RECLAIM RECEIVABLE | 105,678. | 105,678. |
| OTHER INVESTMENT INCOME RECEIVABLE | 1,565. | 1,565. |
| DUE FROM DORIS DUKE FOUNDATION | 2,231. | 2,231. |
| DUE FROM DORIS DUKE FOUNDATION FOR ISLAMIC ART | 24,033. | 24,033. |
| COLLECTIBLES | 378,970. | 378,970. |
| TOTALS | 23,101,514. | 23,101,514. |

ATTACHMENT 10

FORM 990PF, PART II - OTHER LIABILITIES

| DESCRIPTION | ENDING BOOK VALUE |
|---|---|
| DUE TO DORIS DUKE MANAGEMENT FOUNDATION | 6,282,455. |
| DUE TO DUKE FARMS FOUNDATION | 156,960. |
| DEFERRED FEDERAL & STATE EXCISE TAXES | 9,933,915. |
| PURCHASE COMMITMENTS PAYABLE | 5,043,028 |
| SECURITIES LENDING PAYABLE | 625 |
| TOTALS | 21,416,983 |

ATTACHMENT 11

FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

| DESCRIPTION | AMOUNT |
|---|---|
| NET UNREALIZED GAIN ON SECURITIES | -43,153,465. |
| CHANGE IN VALUE OF BENEFICIAL INTEREST IN TRUSTS HELD BY OTHERS | 2,748. |
| TOTAL | -43,150,717. |

**Doris Duke Charitable Foundation**
**Form 990-PF - Return of Private Foundation**
**FYE: 12/31/2015**
**Attachment 12**

**The Doris Duke Charitable Foundation maintained expenditure responsibility for multiple grants to the following grantees:**

Grantees

Doris Duke Foundation for Islamic Art

Duke Farms Foundation

Doris Duke Foundation

Newport Restoration Foundation

What Is Missing Foundation

The expenditure responsibility reports follow this attachment 12 cover sheet.

The Doris Duke Charitable Foundation also maintained expenditure responsibility for various grants that were approved in 2015, but were not actually disbursed until the following year.

DORIS DUKE
FOUNDATION FOR ISLAMIC ART

October 31, 2016

Mr. Edward P. Henry
President
Doris Duke Charitable Foundation
650 Fifth Avenue, 19th Floor
New York, New York 10019

Dear Mr. Henry:

In 2015, the Doris Duke Charitable Foundation ("DDCF") made grants totaling $7,984,784 to the Doris Duke Foundation for Islamic Art ("DDFIA"). By a letter dated October 28, 2016, I agreed on behalf of DDFIA to submit certain reports to DDCF for each year during which any grant funds remained unspent and a final report for the year in which all of the grant funds were spent. Since all of the grant funds were spent during 2015 the year in which they were granted, this is both a first and final report.

Name and address of grantee:
Doris Duke Foundation for Islamic Art
4055 Papu Circle
Honolulu, HI 96816

Purpose of Grants:

To be used for DDFIA's general operating expenses. Property owned by DDFIA is used for a charitable purpose since DDFIA facilitates the study and understanding of Middle Eastern Art and Culture.

The following table contains the date of payment of each part of the grant that was spent in 2015, and a description of how the grant was spent by DDFIA:

| Date of Payment | Amount of Grant | Purpose for which Grant was Used |
|---|---|---|
| 01/31/15 | $809,780 | Employee Related Expenses; General Admin Expenses; Program Related Expenses; General Operating Expenses; Capital Expenditures. |
| 02/28/15 | $395,690 | " |
| 03/31/15 | $1,748,490 | " |
| 04/30/15 | $392,583 | " |
| 05/31/15 | $304,730 | " |
| 06/30/15 | $780,610 | " |
| 07/31/15 | $404,992 | " |
| 08/31/15 | $335,002 | " |
| 09/30/15 | $652,981 | " |
| 10/31/15 | $321,843 | " |
| 11/30/15 | $190,094 | " |
| 12/31/15 | $1,647,989 | " |

All of the grant funds have been spent for DDFIA's operating expenses, and no portion of the grant funds has been diverted from such purpose.

In addition, in the letter dated October 28, 2016, I represented that before the end of 2015, DDFIA would make a qualifying distribution out of corpus as defined in Section 4942 of the Internal Revenue Code, in the amount of $7,984,784 and that I would provide DDCF with adequate records or other sufficient evidence to demonstrate that this distribution has been made.

As described above, all of the grant funds were spent for reasonable and necessary administration expenses to accomplish DDFIA's charitable purposes, which are qualifying distributions. Therefore, a qualifying distribution was made of the entire value of the grants in 2015.

Since DDFIA has otherwise made qualifying distributions equal to the amount of its minimum investment return, this distribution would be treated as a distribution out of corpus if DDFIA were not a private operating foundation.

Very truly yours,
Doris Duke Foundation for Islamic Art

By: _____
Peter Simmons, Chief Operating Officer

October 28, 2016

Mr. Peter Simmons
Chief Operating Officer
Doris Duke Foundation for Islamic Art
650 Fifth Avenue, 19th Floor
New York, New York 10019

Dear Mr. Simmons:

The Doris Duke Charitable Foundation has made grants to the Doris Duke Foundation for Islamic Art in 2015 totaling $7,984,784 to be used for the Doris Duke Foundation for Islamic Art's general operating expenses (referred to collectively as the "Grant"). Because the Doris Duke Foundation for Islamic Art is a private foundation, rather than a publicly supported charity, this Grant is subject to the "expenditure responsibility" requirements contained in the Treasury regulations. Under these regulations, the Doris Duke Charitable Foundation is required to obtain certain written commitments from the Doris Duke Foundation for Islamic Art before making payment of the Grant funds. By signing this letter, you agree on behalf of the Doris Duke Foundation for Islamic Art to the following specific obligations with respect to this Grant:

(1) To repay any portion of the amount granted as well as income earned thereon which is not used for the purposes of the Grant stated above;

(2) From the time the Grant is made or any portion of the Grant is received until it is fully expended or otherwise terminated, to submit a full and complete annual narrative and financial reports and a final report upon completion of the grant period, attested by the responsible financial officer of your organization or a certified public accountant, within a reasonable period of time after the close of your annual accounting period on the manner in which the Grant and income earned thereon are spent, compliance with the terms of the Grant, what was accomplished by the expenditure of funds (including a description of the progress made in accomplishing the purposes of the Grant);

(3) To report the Grant separately on your books of account and to charge expenditures made in furtherance of the Grant purposes against the Grant.

(4) To maintain written records of receipts and expenditures adequate to enable the use of the Grant funds to be checked readily and to make your books, records and other information available for the Doris Duke Charitable Foundation's inspection at reasonable times, which we believe necessary to keep us fully appraised of the status or use of the Grant or income arising therefrom, including any information regarding the ultimate effect of the Grant, whether or not required under the terms of section 4945 of the Internal Revenue code of 1986, as amended (the "Code");

(5) To keep these records of receipts and expenditures and copies of reports submitted to the Doris Duke Charitable Foundation for at least four years after completion of the use of the Grant funds; and

(6) Not to use any of the Grant or income arising therefrom,

a) To carry on propaganda, or otherwise attempt to influence legislation (within the meaning of section 4945(d)(1) of the Code),

b) To influence the outcome of any specific public election, or to carry on, directly or indirectly, any voter registration drive (within the meaning of section 4945(d)(2) of the Code),

c) To make any grant which does not comply with the individual grant requirements of section 4945(d)(3) of the Code or the organization grant requirements of section 4945(d)(4) of the Code, or

d) To undertake any activity for any purpose other than one that is charitable, scientific, literary, educational or for the prevention of cruelty to animals, or as defined in section 170(c)(2)(B) of the Code.

In the event that you violate the terms of this letter agreement by using any portion of this Grant or any income thereon for purposes other than the purpose of the Grant as previously set forth in this letter, you agree that you will refund to the Doris Duke Charitable Foundation the full amount of the Grant and pay over to the Doris Duke Charitable Foundation any additional amount which may be necessary to effect a correction under section 4945 of the Code.

The foregoing conditions are intended to comply with obligations under United States law to make reasonable efforts and establish adequate procedures to see that grant funds are spent solely for the purposes for which they are granted, and to obtain full and complete records on how grant funds have been expended. Changes in United States laws, or in regulations interpreting them, may require the Doris Duke Charitable Foundation to ask that more detailed reports be submitted or that other steps be taken. The Doris Duke Charitable Foundation will promptly inform you of any such changes, and by signing this letter you indicate your agreement to provide such additional information and comply with such requests.

The Doris Duke Foundation for Islamic Art also agrees that no later than the end of its first taxable year after the taxable year in which it receives the Grant, it will make a qualifying distribution out of corpus, as defined in section 4942 of the Code, equal to the value of the Grant, and, within such time period, the Doris Duke Foundation for Islamic Art agrees to provide adequate records or other sufficient evidence to the Doris Duke Charitable Foundation to demonstrate that this distribution has been made. Such records or evidence will state that the qualifying distribution has been made and will specify (1) the names and addresses of the recipients of any such qualifying distribution and the

amounts paid to each, (ii) the details concerning the payment of any operating expenses which are a part of such qualifying distribution and (iii) the details concerning any operating expenses paid during any of the preceding five years which the Doris Duke Foundation for Islamic Art elects pursuant to Treas. Reg. 53.4942(A)-3(c)(2)(iv) to treat as a current distribution of corpus in order to make such qualifying distribution. Such records or evidence will also state that the qualifying distribution would be treated as a distribution of corpus under section 4942 of the Code if the Doris Duke Foundation for Islamic Art were not an operating foundation.

If this letter and its attachment correctly set forth your understanding of the arrangements made regarding this Grant, please countersign the letter and return it to the Doris Duke Charitable Foundation.

Very truly yours,

The Doris Duke Charitable Foundation

By: Edward P. Henry
dward P. Henry, President

Agreed to and accepted on behalf of the
Doris Duke Foundation for Islamic Art this 28
day of October, 2016

By: [signature]

Peter Simmons, Chief Operating Officer

October 28, 2016

Mr. Peter Simmons
Chief Operating Officer
Duke Farms Foundation
1112 Dukes Parkway West
Hillsborough, New Jersey 08844

Dear Mr. Simmons:

The Doris Duke Charitable Foundation has made grants to Duke Farms Foundation in 2015 totaling $14,613,922 to be used for Duke Farms Foundation's general operating expenses (referred to collectively as the "Grant"). Because Duke Farms Foundation is a private foundation, rather than a publicly supported charity, this Grant is subject to the "expenditure responsibility" requirements contained in the Treasury regulations. Under these regulations, the Doris Duke Charitable Foundation is required to obtain certain written commitments from Duke Farms Foundation before making payment of the Grant funds. By signing this letter, you agree on behalf of Duke Farms Foundation to the following specific obligations with respect to this Grant:

(1) To repay any portion of the amount granted as well as income earned thereon which is not used for the purposes of the Grant stated above;

(2) From the time the Grant is made or any portion of the Grant is received until it is fully expended or otherwise terminated, to submit a full and complete annual narrative and financial reports and a final report upon completion of the grant period, attested by the responsible financial officer of your organization or a certified public accountant, within a reasonable period of time after the close of your annual accounting period on the manner in which the Grant and income earned thereon are spent, compliance with the terms of the Grant, what was accomplished by the expenditure of funds (including a description of the progress made in accomplishing the purposes of the Grant);

(3) To report the Grant separately on your books of account and to charge expenditures made in furtherance of the Grant purposes against the Grant.

(4) To maintain written records of receipts and expenditures adequate to enable the use of the Grant funds to be checked readily and to make your books, records and other information available for the Doris Duke Charitable Foundation's inspection at reasonable times, which we believe necessary to keep us fully appraised of the status or use of the Grant or income arising therefrom, including any information regarding the ultimate effect of the Grant, whether or not required under the terms of section 4945 of the Internal Revenue code of 1986, as amended (the "Code");

(5) To keep these records of receipts and expenditures and copies of reports submitted to the Doris Duke Charitable Foundation for at least four years after completion of the use of the Grant funds; and

(6) Not to use any of the Grant or income arising therefrom,

a. To carry on propaganda, or otherwise attempt to influence legislation (within the meaning of section 4945(d)(1) of the Code),

b. To influence the outcome of any specific public election, or to carry on, directly or indirectly, any voter registration drive (within the meaning of section 4945(d)(2) of the Code),

c. To make any grant which does not comply with the individual grant requirements of section 4945(d)(3) of the Code or the organization grant requirements of section 4945(d)(4) of the Code, or

d. To undertake any activity for any purpose other than one that is charitable, scientific, literary, educational or for the prevention of cruelty to animals, or as defined in section 170(c)(2)(B) of the Code.

In the event that you violate the terms of this letter agreement by using any portion of this Grant or any income thereon for purposes other than the purpose of the Grant as previously set forth in this letter, you agree that you will refund to the Doris Duke Charitable Foundation the full amount of the Grant and pay over to the Doris Duke Charitable Foundation any additional amount which may be necessary to effect a correction under section 4945 of the Code.

The foregoing conditions are intended to comply with obligations under United States law to make reasonable efforts and establish adequate procedures to see that grant funds are spent solely for the purposes for which they are granted, and to obtain full and complete records on how grant funds have been expended. Changes in United States laws, or in regulations interpreting them, may require the Doris Duke Charitable Foundation to ask that more detailed reports be submitted or that other steps be taken. The Doris Duke Charitable Foundation will promptly inform you of any such changes, and by signing this letter you indicate your agreement to provide such additional information and comply with such requests.

Duke Farms Foundation also agrees that no later than the end of its first taxable year after the taxable year in which it receives the Grant, it will make a qualifying distribution out of corpus, as defined in section 4942 of the Code, equal to the value of the Grant, and, within such time period, Duke Farms Foundation agrees to provide adequate records or other sufficient evidence to the Doris Duke Charitable Foundation to demonstrate that this distribution has been made. Such records or evidence will state that the qualifying distribution has been made and will specify (1) the names and addresses of the recipients of any such qualifying distribution and the amounts paid to each, (ii) the details


650 Fifth Avenue, 19th Floor • New York, NY 10019 • tel 212 974 7000 fax 212 974 7590 • www.ddcf.org

concerning the payment of any operating expenses which are a part of such qualifying distribution and (iii) the details concerning any operating expenses paid during any of the preceding five years which Duke Farms Foundation elects pursuant to Treas. Reg. 53.4942(A) 3(c)(2)(iv) to treat as a current distribution of corpus in order to make such qualifying distribution. Such records or evidence will also state that the qualifying distribution would be treated as a distribution of corpus under section 4942 of the Code if Duke Farms Foundation were not an operating foundation.

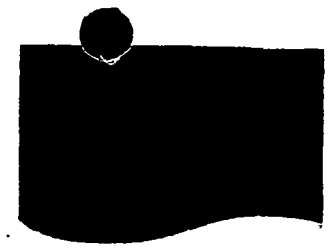
If this letter and its attachment correctly set forth your understanding of the arrangements made regarding this Grant, please countersign the letter and return it to the Doris Duke Charitable Foundation.

Very truly yours,
The Doris Duke Charitable Foundation

By: Edward P. Henry
Edward P. Henry, President

Agreed to and accepted on behalf of
Duke Farms Foundation this 28
day of October, 2016

By: PF
Peter Simmons, Chief Operating Officer




October 31, 2016

Mr. Edward P. Henry
President
Doris Duke Charitable Foundation
650 Fifth Avenue, 19th Floor
New York, New York 10019

Dear Mr. Henry:

In 2015, the Doris Duke Charitable Foundation ("DDCF") made grants totaling $14,613,922 to Duke Farms Foundation ("DFF"). By a letter dated October 28, 2015, I agreed on behalf of DFF to submit certain reports to DDCF for each year during which any grant funds remained unspent and a final report for the year in which all of the grant funds were spent. Since all of the grant funds were spent during 2015 the year in which they were granted, this is both a first and final report.

Name and address of grantee:
Duke Farms Foundation
1112 Dukes Parkway West
Hillsborough, NJ 08844

Purpose of Grants:

To be used for DFF's general operating expenses. Property owned by DFF is used for a charitable purpose since DFF is a regional center for environmental stewardship. DFF provides educational programs to visitors as well as serving as a critical habitat for protecting endangered species of all kinds, both flora and fauna.

The following table contains the date of payment of each part of the grant that was spent in 2015 and a description of how the grant was spent by DFF:

| Date of Payment | Amount of Grant | Purpose for which Grant was Used |
|---|---|---|
| 1/31/15 | $1,599,747 | Employee Related Expenses; General Admin Expenses; Program Related Expenses; General Operating Expenses; Capital Expenditures. |
| 2/28/15 | $666,004 | " |
| 3/31/15 | $1,159,264 | " |
| 4/30/15 | $1,049,985 | " |
| 5/31/15 | $706,493 | " |
| 6/30/15 | $1,655,685 | " |
| 7/31/15 | $1,396,295 | " |
| 8/31/15 | $1,084,931 | " |
| 9/30/15 | $1,239,897 | " |
| 10/31/15 | $1,145,708 | " |
| 11/30/15 | $1,143,397 | " |
| 12/31/15 | $1,766,516 | " |

All of the grant funds have been spent for DFF's operating expenses, and no portion of the grant funds has been diverted from such purpose.

In addition, in the letter dated October 28, 2016, I represented that before the end of 2015, DFF would make a qualifying distribution out of corpus as defined in Section 4942 of the Internal Revenue Code, in the amount of $14,613,922 and that I would provide DDCF with adequate records or other sufficient evidence to demonstrate that this distribution has been made. As described above, all of the grant funds were spent for reasonable and necessary administration expenses to accomplish DFF's charitable purposes, which are qualifying distributions. Therefore, a qualifying distribution was made of the entire value of the grants in 2015.

Since DFF has otherwise made qualifying distributions equal to the amount of its minimum investment return, this distribution would be treated as a distribution out of corpus if DFF were not a private operating foundation.

Very truly yours,
Duke Farms Foundation

By: _____
Peter Simmons, Chief Operating Officer

October 26, 2016

Edward P. Henry
President
Doris Duke Charitable Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

Re: Doris Duke Charitable Foundation Grant No. 2012015

Dear Mr. Henry:

In 2012, the Doris Duke Charitable Foundation (DDCF) made a grant to the Doris Duke Foundation ("DDF") totaling $5,775,000 (the "Grant").

By grant agreement executed April 3, 2012 and Amendment executed May 18, 2012 (collectively, the "Grant Agreement"), DDF agreed to submit an expenditure responsibility report (as required by Treas. Reg. §53.4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent. In addition, in the Grant Agreement, DDF represented that before the end of DDF's fiscal year following the year in which grant payments were received, DDF would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of those payments, and that DDF would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made.

**Name and address of grantee:**

Doris Duke Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

**Purpose of Grant:** To support the first cohort of Doris Duke Artists Award recipients selected for funding through the Doris Duke Performing Artists Awards Program (the "Awards Program")

**Use of Qualifying Distribution Grant funds by DDF:** This is a report for calendar year 2015. DDF received grant payments from DDCF totaling $989,891 in 2015. The grant funds were fully expended in 2015 toward the first cohort of Awards Program recipients, as shown on the following pages.

No portion of the grant funds has been diverted from the approved purpose of the Grant.

Very truly yours,

Peter Simmons
Chief Operating Officer
Doris Duke Foundation

# Doris Duke Artist Awards - 2012 Cohort (21 Artists): Grants Paid in 2015 from Grant No. 2012015

| Recipient* | Award | Purpose | Tax Status and Relationship to Any Foundation Manager or Substantial Contributor | Amount Paid 2015 |
|---|---|---|---|---|
| Bogart, Anne | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $50,000 |
| | Doris Duke Artist Award 2012 | Incentive Funding | | $5,000 |
| Byron, Donald | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $40,000 |
| | Doris Duke Artist Award 2012 | Audience Development | | $10,000 |
| Cardona, Francis Wallace | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $40,000 |
| | Doris Duke Artist Award 2012 | Incentive Funding | | $8,000 |
| Eckert, Rinde | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $50,000 |
| | Doris Duke Artist Award 2012 | Audience Development | | $5,000 |
| | Doris Duke Artist Award 2012 | Incentive Funding | | $5,000 |
| Frisell, William | Doris Duke Artist Award 2012 | Audience Development | Individual/None | $25,000 |
| | Doris Duke Artist Award 2012 | Incentive Funding | | $0 |
| Hay, Deborah | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $65,000 |
| | Doris Duke Artist Award 2012 | Incentive Funding | | $5,000 |
| Hollenbeck, John | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $45,000 |
| | Doris Duke Artist Award 2012 | Incentive Funding | | $250 |
| Joseph, Marc Bamuthi | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $35,000 |
| | Doris Duke Artist Award 2012 | Audience Development | | $10,000 |
| LeCompte, Elizabeth | Doris Duke Artist Award 2012 | Incentive Funding | Individual/None | $5,000 |
| Lee, Young Jean | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $29,167 |
| Lemon, Ralph | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $90,000 |
| | Doris Duke Artist Award 2012 | Incentive Funding | | $9,500 |
| Maxwell, Richard | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $46,400 |
| | Doris Duke Artist Award 2012 | Incentive Funding | | $5,000 |
| Michelson, Sarah | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $45,700 |
| Mitchell, Nicole | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $52,000 |
| | Doris Duke Artist Award 2012 | Incentive Funding | | $8,500 |
| Monk, Meredith | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $33,750 |
| | Doris Duke Artist Award 2012 | Incentive Funding | | $5,000 |
| Otake, Eiko | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $50,000 |
| | Doris Duke Artist Award 2012 | Incentive Funding | | $5,149 |
| Otake, Takashi Koma | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $30,000 |
| | Doris Duke Artist Award 2012 | Incentive Funding | | $6,975 |
| Twist, Basil | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $80,000 |
| Wilson, Reginald | Doris Duke Artist Award 2012 | Unrestricted | Individual/None | $50,000 |
| | Doris Duke Artist Award 2012 | Incentive Funding | | $6,500 |
| | | | **Total Grants Paid to Individuals** | **$956,891** |
| ***From Nicole Mitchell's Audience Development Funds ($25,000):*** | | | | |
| **Jazz Institute of Chicago Inc**<br>410 S. Michigan Ave., Suite 500<br>Chicago, IL 60615 | *To support the Audience Development/Arts Education project entitled, "Women of the AACM: Voices Heard."* | | PC | **$15,000** |
| ***From Neiko Otake's Audience Development Funds ($25,000):*** | | | | |
| **Inta Inc**<br>75 Broad Street, Suite 304<br>New York, NY 10004 | *To support work with Danspace Project to produce "Platform 2016," based on Eiko Otake's Body in Pieces, and to create unique experiences to engage Platform audiences in her art and process.* | | PC | **$15,000** |
| ***From Reginal Wilson's Audience Development Funds ($25,000):*** | | | | |
| **Fist and Heel Performance Group**<br>476 Dean St, Suite #2<br>Brooklyn, NY 11217 | *To create a Fist & Heel digital press packet and edit "Moses(es): milwaukee made"* | | PC | **$3,000** |
| | | | **Total Grants Paid to Organizations** | **$33,000** |
| | | | **TOTAL Grants Paid in 2015 from DDCF Grant No. 2012015** | **$989,891** |

October 26, 2016

Edward P. Henry
President
Doris Duke Charitable Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

Re: Doris Duke Charitable Foundation Grant No. 2013030

Dear Mr. Henry:

In February 2013, the Doris Duke Charitable Foundation (DDCF) made a grant to the Doris Duke Foundation ("DDF") totaling $5,500,000 (the "Grant").

By grant agreement executed February 27, 2013 (the "Grant Agreement"), DDF agreed to submit an expenditure responsibility report (as required by Treas. Reg. §53.4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent. In addition, in the Grant Agreement, DDF represented that before the end of DDF's fiscal year following the year in which grant payments were received, DDF would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of those, and that DDF would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made.

**Name and address of grantee:**

Doris Duke Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

**Purpose of Grant:** To support the second cohort of Doris Duke Artist Award recipients selected for funding through the Doris Duke Performing Artists Awards Program in 2013 (the "Awards Program")

**Use of Qualifying Distribution Grant funds by DDF:** This is a report for calendar year 2015. DDF received payments from DDCF totaling $1,178,986 in 2015. The grant funds were fully expended in 2015 toward the second cohort of Doris Duke Artist Award recipients, as shown on the following pages.

No portion of the grant funds has been diverted from the approved purpose of the Grant.

Very truly yours,

Peter Simmons
Chief Operating Officer
Doris Duke Foundation

# Doris Duke Artist Awards - 2013 Cohort (20 Artists): Grants Paid in 2015 from Grant No. 2013030

| Recipient* | Award | Purpose | Tax Status and Relationship to Any Foundation Manager or Substantial Contributor | Amount Paid 2015 |
|---|---|---|---|---|
| Braxton, Anthony | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $45,000 |
| Childs, William | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $67,500 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $5,000 |
| Chong, John Ping | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $75,000 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $6,688 |
| Copper, Kelly | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $40,000 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $4,606 |
| D'Amour, Lisa | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $65,000 |
| Dorvillier, Deanna | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $50,000 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $5,000 |
| ElSaffar, Amir | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $80,000 |
| Gordon, David | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $45,000 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $8,333 |
| Graney, Patricia | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $50,000 |
| Klein, Stacy | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $65,000 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $9,750 |
| Lang, David | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $45,000 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $4,896 |
| Liska, Pavol | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $35,000 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $4,548 |
| Mahanthappa, Rudresh | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $67,500 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $5,000 |
| Malpede, John | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $50,000 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $5,000 |
| Masaoka, Miya | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $45,000 |
| | Doris Duke Artist Award 2013 | Audience Development | | $5,000 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $6,500 |
| Melford, Myra | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $53,400 |
| | Doris Duke Artist Award 2013 | Audience Development | | $25,000 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $7,705 |
| O'Connor, Tere | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $41,250 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $6,300 |
| Parker, William | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $26,000 |
| Streb, Elizabeth | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $40,000 |
| | Doris Duke Artist Award 2013 | Incentive Funding | | $5,000 |
| Zollar, Willa Jo | Doris Duke Artist Award 2013 | Unrestricted | Individual/None | $54,000 |
| | | | **Total Grants Paid to Individuals** | **$1,153,976** |

***From Pat Graney's Audience Development Funds ($25,000)***

| | | | |
|---|---|---|---|
| **Pat Graney Performance**<br>1135 Yakima Ave S<br>Seattle, WA 98144-3147 | *To support website development, artwork documentation, public relations consultation and public workshops* | **PC** | **$25,000** |
| | | **Total Grants Paid to Organizations** | **$25,000** |
| | | **Total Grants Paid in 2015 from DDCF Grant #2013030** | **$1,178,976** |

October 26, 2016

Edward P. Henry
President
Doris Duke Charitable Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

Re: Doris Duke Charitable Foundation Grant No. 2013221

Dear Mr. Henry:

In November 2013, the Doris Duke Charitable Foundation (DDCF) made a grant to the Doris Duke Foundation ("DDF") totaling $5,500,000 (the "Grant").

By grant agreement executed December 16, 2013 (the "Grant Agreement"), DDF agreed to submit an expenditure responsibility report (as required by Treas. Reg. §53.4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent. In addition, in the Grant Agreement, DDF represented that before the end of DDF's fiscal year following the year in which grant payments were received, DDF would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of those, and that DDF would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made.

**Name and address of grantee:**

Doris Duke Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

**Purpose of Grant:** To support the third cohort of Doris Duke Artists Award recipients selected for funding through the Doris Duke Performing Artists Awards Program in 2014.

**Use of Qualifying Distribution Grant funds by DDF:** This is a report for calendar year 2015. DDF received payments from DDCF totaling $1,711,812 in 2015. The grant funds were fully expended in 2015 toward the second cohort of Doris Duke Artist Award recipients, as shown on the following pages. Note that only 19 artists were selected in 2014; the remaining funds are supporting an artist selected in 2015.

No portion of the grant funds has been diverted from the approved purpose of the Grant.

Very truly yours,

Peter Simmons
Chief Operating Officer
Doris Duke Foundation

## Doris Duke Artist Awards - 2014 Cohort (19 Artists): Grants Paid in 2015 from Grant No. 2013221

| Recipient* | Award | Purpose | Tax Status and Relationship to Any Foundation Manager or Substantial Contributor | Amount Paid 2015 |
|---|---|---|---|---|
| Collins, John Charles | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $90,000 |
| | Doris Duke Artist Award 2014 | Incentive Funding | | $4,288 |
| Haigood, Joanna | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $75,000 |
| Hwang, David | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $67,500 |
| | Doris Duke Artist Award 2014 | Audience Development | | $12,500 |
| | Doris Duke Artist Award 2014 | Incentive Funding | | $5,000 |
| Jasperse, John R | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $46,250 |
| Johnson, Emily | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $54,000 |
| Jones, William T. | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $90,000 |
| Joseph, Melanie | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $45,000 |
| Keystone, Nancy | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $60,000 |
| Kron, Lisa | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $180,000 |
| | Doris Duke Artist Award 2014 | Audience Development | | $25,000 |
| | Doris Duke Artist Award 2014 | Incentive Funding | | $20,000 |
| Lake, Oliver | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $67,500 |
| | Doris Duke Artist Award 2014 | Audience Development | | $25,000 |
| | Doris Duke Artist Award 2014 | Incentive Funding | | $8,333 |
| Lazar, Anne Parson | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $90,000 |
| | Doris Duke Artist Award 2014 | Incentive Funding | | $11,625 |
| Lehman, Stephen Hart | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $55,000 |
| | Doris Duke Artist Award 2014 | Incentive Funding | | $10,000 |
| McCraney, Tarell A | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $75,000 |
| | Doris Duke Artist Award 2014 | Incentive Funding | | $7,400 |
| Mitchell, Roscoe E | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $67,500 |
| | Doris Duke Artist Award 2014 | Incentive Funding | | $8,333 |
| Parkins, Elizabeth | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $50,000 |
| | Doris Duke Artist Award 2014 | Incentive Funding | | $3,250 |
| Ramaswamy, Ranee | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $45,000 |
| | Doris Duke Artist Award 2014 | Incentive Funding | | $5,000 |
| Shaw, Margaret | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $90,000 |
| Taborn, Craig | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $45,000 |
| | Doris Duke Artist Award 2014 | Incentive Funding | | $5,000 |
| Weston, Randolph | Doris Duke Artist Award 2014 | Unrestricted | Individual/None | $90,000 |
| | Doris Duke Artist Award 2014 | Audience Development | | $25,000 |
| | Doris Duke Artist Award 2014 | Incentive Funding | | $8,333 |
| King, Alonzo | Doris Duke Artist Award 2015 | Unrestricted | Individual/None | $45,000 |
| | | | **Total Grants Paid to Individuals** | **$1,611,812** |

***From John Charles Collins' Audience Development funds ($25,000)***

| | | | |
|---|---|---|---|
| **Elevator Repair Service Theater Inc**<br>504 Grand St. B14<br>New York, NY 10002 | *2015 Self-Marketing and Audience Engagement Initiative, development of a marketing plan, Master classes, and direct mailings* | PC | **$25,000** |

***From William T. Jones' Audience Development funds ($25,000)***

| | | | |
|---|---|---|---|
| **New York Live Arts Inc** | *To expand the Bill T Jones/Arnie Zane Dance Company's connections* | PC | **$25,000** |

## Doris Duke Artist Awards - 2014 Cohort (19 Artists): Grants Paid in 2015 from Grant No. 2013221

| Recipient* | Award | Purpose | Tax Status and Relationship to Any Foundation Manager or Substantial Contributor | Amount Paid 2015 |
|---|---|---|---|---|
| 219 West 19th Street<br>New York, NY 10011 | | *with the Bard Prison Initiative at the Fishkill Correctional Facility through a semester-long course entitled, "Finding the Question Seminar and Performance."* | | |
| ***From Nancy Keystone's Audience Development funds ($25,000)*** | | | | |
| **Fractured Atlas Inc**<br>248 West 35th Street, 10th Floor<br>New York, NY 10001 | | *To support the Audience Development/Arts Education project of the Critical Mass Performance Group entitled, "Grow."* | PC | **$25,000** |
| ***From Roscoe Mitchell's Audience Development funds ($25,000)*** | | | | |
| **Museum of Contemporary Art**<br>220 E Chicago Ave<br>Chicago, IL 60611 | | *To expand awareness of and connections with Roscoe Mitchell and his work as part of the The Freedom Principle: Experiments in Art & Music, 1965 to Now exhibition* | PC | **$25,000** |
| | | | **Total Grants Paid to Organizations** | **$100,000** |
| | | | **Total Grants Paid in 2015 from DDCF Grant #2013221** | **$1,711,812** |

October 26, 2016

Edward P. Henry
President
Doris Duke Charitable Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

Re: Doris Duke Charitable Foundation Grant No. 2014207

Dear Mr. Henry:

In November 2014, the Doris Duke Charitable Foundation (DDCF) made a grant to the Doris Duke Foundation ("DDF") totaling $5,225,000 (the "Grant").

By grant agreement executed December 19, 2014 (the "Grant Agreement"), DDF agreed to submit an expenditure responsibility report (as required by Treas. Reg. §53.4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent. In addition, in the Grant Agreement, DDF represented that before the end of DDF's fiscal year following the year in which grant payments were received, DDF would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of those, and that DDF would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made.

**Name and address of grantee:**

Doris Duke Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

**Purpose of Grant:** To support the fourth cohort of Doris Duke Artists Award recipients, to be selected for funding through the Doris Duke Performing Artists Awards Program in 2015.

**Use of Qualifying Distribution Grant funds by DDF:** This is a report for calendar year 2015. DDF received payments from DDCF totaling $785,000 in 2015. The grant funds were fully expended in 2015 toward the fourth cohort of Doris Duke Artist Award recipients, as shown on the following pages.

No portion of the grant funds has been diverted from the approved purpose of the Grant.

Very truly yours,

Peter Simmons
Chief Operating Officer
Doris Duke Foundation

## Doris Duke Artist Awards - 2015 Cohort (19 Artists): Grants Paid in 2015 from Grant No. 2014207

| Recipient* | Award | Purpose | Tax Status and Relationship to Any Foundation Manager or Substantial Contributor | Amount Paid 2015 |
|---|---|---|---|---|
| Argue, Darcy James | Doris Duke Artist Award 2015 | Unrestricted | Individual/None | $45,000 |
| Carlson, Ann | Doris Duke Artist Award 2015 | Unrestricted | Individual/None | $79,000 |
| Chipaumire, Nora | Doris Duke Artist Award 2015 | Audience Development | Individual/None | $25,000 |
| Flores, Paul | Doris Duke Artist Award 2015 | Unrestricted | Individual/None | $75,000 |
| | Doris Duke Artist Award 2015 | Audience Development | Individual/None | $15,000 |
| Hopkins, Cynthia | Doris Duke Artist Award 2015 | Unrestricted | Individual/None | $90,000 |
| Lee, Okkyung | Doris Duke Artist Award 2015 | Unrestricted | Individual/None | $45,000 |
| Petronio, Stephen | Doris Duke Artist Award 2015 | Unrestricted | Individual/None | $90,000 |
| Ruiz Sapp, Mildred | Doris Duke Artist Award 2015 | Unrestricted | Individual/None | $90,000 |
| Sapp, Steven | Doris Duke Artist Award 2015 | Unrestricted | Individual/None | $90,000 |
| Akinmusire, Ambrose | Doris Duke Artist Award 2015 | Unrestricted | Individual/None | $66,000 |
| | | | **TOTAL** | **$710,000** |

***From Darcy James Argue's Audience Development funds ($25,000)***

| | | | |
|---|---|---|---|
| **Beth Morrison Projects**<br>305 E. 93rd Street<br>New York, NY 10128 | *To create videos and web materials of for Darcy James Argue's REAL ENEMIES multimedia tour and to upgrade his web presence* | **PC** | **$25,000** |

***From Ann Carlson's' Audience Development funds ($25,000)***

| | | | |
|---|---|---|---|
| **Fractured Atlas Inc**<br>248 West 35th Street,<br>10th Floor<br>New York, NY 10001 | *To support "Ann Carson Available Archive," which will gather, conserve, categorize and digitize Ms. Carson's past and present work in order to it available digitally to a broader public.* | **PC** | **$25,000** |

***From Stephen Petronio's Audience Development funds ($25,000)***

| | | | |
|---|---|---|---|
| **Stephen Petronio Dance**<br>140 Second Avenue, Suite 504<br>New York, NY 10003- | *To create an online Bloodlines Room on Input/Output, host presenters at full-length performances of Bloodlines and create a diverse Bloodlines experience in Philadelphia that includes a performance and educational programming.* | **PC** | **$25,000** |

| | |
|---|---|
| **Total Grants Paid to Organizations** | **$76,000** |
| **Total Grants Paid in 2015 from DDCF Grant #2014207** | **$786,000** |

October 26, 2016

Edward P. Henry
President
Doris Duke Charitable Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

Re: Doris Duke Charitable Foundation Grant No. 2013222

Dear Mr. Henry:

In November 2013, the Doris Duke Charitable Foundation (DDCF) made a grant to the Doris Duke Foundation ("DDF") totaling $1,600,000 (the "Grant").

By grant agreement executed December 16, 2013 (the "Grant Agreement"), DDF agreed to submit an expenditure responsibility report (as required by Treas. Reg. §53.4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent. In addition, in the Grant Agreement, DDF represented that before the end of DDF's fiscal year following the year in which grant payments were received, DDF would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of those, and that DDF would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made.

**Name and address of grantee:**

Doris Duke Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

**Purpose of Grant:** To support the first cohort of Doris Duke Impact Award recipients selected for funding through the Doris Duke Performing Artists Awards Program in 2014.

**Use of Qualifying Distribution Grant funds by DDF:** This is a report for calendar year 2015. DDF received payments from DDCF totaling $598,400 in 2015. The grant funds were fully expended in 2015 toward the first cohort of Doris Duke Impact Award recipients, as shown on the following pages.

No portion of the grant funds has been diverted from the approved purpose of the Grant.

Very truly yours,

Peter Simmons
Chief Operating Officer
Doris Duke Foundation

# Doris Duke Impact Awards - 2014 Cohort (20 Artists): Grants Paid in 2015 from Grant No. 2013222

| Recipient* | Award | Purpose | Tax Status and Relationship to Any Foundation Manager or Substantial Contributor | Amount Paid 2015 |
|---|---|---|---|---|
| Halprin, Anna | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $24,000 |
| | Doris Duke Impact Award 2014 | Incentive Funding | | $5,000 |
| Harrell, Trajal | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $20,000 |
| | Doris Duke Impact Award 2014 | Audience Development | | $10,000 |
| Jarcho, Julia K | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $20,000 |
| | Doris Duke Impact Award 2014 | Audience Development | | $8,000 |
| Lacey, Jennifer Megan | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $20,000 |
| | Doris Duke Impact Award 2014 | Audience Development | | $10,000 |
| Melnick, Jodi | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $25,000 |
| | Doris Duke Impact Award 2014 | Audience Development | | $5,250 |
| | Doris Duke Impact Award 2014 | Incentive Funding | | $3,250 |
| Monder, Ben | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $24,000 |
| Monson, Jennifer | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $35,000 |
| | Doris Duke Impact Award 2014 | Incentive Funding | | $2,550 |
| Moss, Richard Dean | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $20,000 |
| Neare, Lucia | Doris Duke Impact Award 2014 | Audience Development | Individual/None | $2,500 |
| Ortiz Vizcay, Orlando Aruan | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $10,000 |
| | Doris Duke Impact Award 2014 | Audience Development | | $10,000 |
| | Doris Duke Impact Award 2014 | Incentive Funding | | $2,500 |
| Roberts, Matana | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $50,000 |
| | Doris Duke Impact Award 2014 | Audience Development | | $10,000 |
| | Doris Duke Impact Award 2014 | Incentive Funding | | $2,500 |
| Satter, Kristina Susan | Doris Duke Impact Award 2014 | Audience Development | Individual/None | $10,000 |
| | Doris Duke Impact Award 2014 | Incentive Funding | | $8,750 |
| Shyu, Jennifer Lay | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $15,000 |
| | Doris Duke Impact Award 2014 | Incentive Funding | | $3,500 |
| Simons, John T. | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $35,000 |
| | Doris Duke Impact Award 2014 | Incentive Funding | | $5,000 |
| Sommers, Michael | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $20,000 |
| Truscott, Adrienne E. | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $15,000 |
| | Doris Duke Impact Award 2014 | Audience Development | | $5,000 |
| | Doris Duke Impact Award 2014 | Incentive Funding | | $2,500 |
| Truscott, Cristal Chanelle | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $40,000 |
| Abrams, Muhal Richard | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $28,500 |
| | Doris Duke Impact Award 2014 | Audience Development | | $5,100 |
| | Doris Duke Impact Award 2014 | Incentive Funding | | $5,000 |
| Akinmusire, Ambrose | Doris Duke Impact Award 2014 | Unrestricted | Individual/None | $24,000 |
| | Doris Duke Impact Award 2014 | Audience Development | | $10,000 |
| | Doris Duke Impact Award 2014 | Incentive Funding | | $1,500 |
| Coleman, Steven D | Doris Duke Impact Award 2014 and | Unrestricted | Individual/None | $30,000 |
| | | | **Total Grants Paid to Individuals** | **$583,400** |

## Doris Duke Impact Awards - 2014 Cohort (20 Artists): Grants Paid in 2015 from Grant No. 2013222

| Recipient* | Award | Purpose | Tax Status and Relationship to Any Foundation Manager or Substantial Contributor | Amount Paid 2015 |
|---|---|---|---|---|
| ***From Jennifer Monson's Audience Development Funds ($10,000)*** | | | | |
| **iLand Inc**<br>140 Second Avenue, # 404<br>New York, NY 10003 | | *To expand and redesign the web-based iLANDing Archive and publish a book of scores and iLANDing processes.* | PC | $5,000 |
| ***From John T. Simons' Audience Development Funds ($10,000)*** | | | | |
| **Hip Pocket Theatre**<br>1950 Silver Creek Rd<br>Fort Worth, TX 76108 | | *To reach younger audiences including families and college students through master classes, family outreach and social media.* | PC | $10,000 |
| | | | **Total Grants Paid to Organizations** | **$15,000** |
| | | | **Total Grants Paid in 2015 from DDCF Grant #2013222** | **$598,400** |

October 26, 2016

Edward P. Henry
President
Doris Duke Charitable Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

Re: Doris Duke Charitable Foundation Grant No. 2014206

Dear Mr. Henry:

In November 2014, the Doris Duke Charitable Foundation (DDCF) made a grant to the Doris Duke Foundation ("DDF") totaling $1,600,000 (the "Grant").

By grant agreement executed December 19, 2014 (the "Grant Agreement"), DDF agreed to submit an expenditure responsibility report (as required by Treas. Reg. §53.4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent. In addition, in the Grant Agreement, DDF represented that before the end of DDF's fiscal year following the year in which grant payments were received, DDF would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of those, and that DDF would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made.

**Name and address of grantee:**

Doris Duke Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

**Purpose of Grant:** To support the second cohort of Doris Duke Impact Award recipients, to be selected for funding through the Doris Duke Performing Artists Awards Program in 2015.

**Use of Qualifying Distribution Grant funds by DDF:** This is a report for calendar year 2015. DDF received payments from DDCF totaling $60,000 in 2015. The grant funds were fully expended in 2015 toward the second cohort of Doris Duke Impact Award recipients, as shown on the following pages.

No portion of the grant funds has been diverted from the approved purpose of the Grant.

Very truly yours,

Peter Simmons
Chief Operating Officer
Doris Duke Foundation

## Doris Duke Impact Awards - 2015 Cohort (20 Artists): Grants Paid in 2015 from Grant No. 2014206

| Recipient* | Award | Purpose | Tax Status and Relationship to Any Foundation Manager or Substantial Contributor | Amount Paid 2015 |
|---|---|---|---|---|
| Davis, Kris | Doris Duke Impact Award 2015 | Unrestricted | Individual/None | $30,000 |
| | Doris Duke Impact Award 2015 | Incentive Funding | | $5,000 |
| Graves, Milford | Doris Duke Impact Award 2015 | Unrestricted | Individual/None | $25,000 |
| | | | **Total Grants Paid to Individuals** | **$60,000** |

October 26, 2016

Edward P. Henry
President
Doris Duke Charitable Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

Re: Doris Duke Charitable Foundation Grant No. 2015302

Dear Mr. Henry:

In November 2015, the Doris Duke Charitable Foundation (DDCF) made a grant to the Doris Duke Foundation ("DDF") totaling $5,500,000 (the "Grant").

By grant agreement executed December 23, 2015 (the "Grant Agreement"), DDF agreed to submit an expenditure responsibility report (as required by Treas. Reg. §53.4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent. In addition, in the Grant Agreement, DDF represented that before the end of DDF's fiscal year following the year in which grant payments were received, DDF would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of those, and that DDF would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made.

**Name and address of grantee:**

Doris Duke Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

**Purpose of Grant:** To support the fifth cohort of Doris Duke Artists Award recipients, to be selected for funding through the Doris Duke Performing Artists Awards Program in 2016.

**Use of Qualifying Distribution Grant funds by DDF:** This is a report for calendar year 2015. No payments were received from DDCF and no funds were expended in 2015.

No portion of the grant funds has been diverted from the approved purpose of the Grant.

Very truly yours,

Peter Simmons
Chief Operating Officer
Doris Duke Foundation

CHARITABLE FOUNDATION

December 23, 2015 **DDCF Grant No. 2015302**

Peter Simmons
Chief Operating Officer
Doris Duke Foundation
650 Fifth Avenue
New York, NY 10019

Dear Mr. Simmons

At a meeting on November 16, 2015, the Trustees of the Doris Duke Charitable Foundation ("DDCF") approved a 5-year grant ("Grant") to the Doris Duke Foundation ("DDF") totaling $5,500,000 to support the fifth cohort of Doris Duke Artist Award recipients to be selected for funding through the Doris Duke Performing Artists Awards Program (the "Awards Program").

This letter describes the terms and conditions for the Grant, including the specific "expenditure responsibility" obligations arising because DDF is a private foundation.

By signing this letter, you agree on behalf of DDF to comply with the following obligations with respect to this Grant:

**Grant Requirements**

***Grants to Artists***

(1) DDF will provide grants to the individual artists selected to receive funding by the 2016 selection panels of the Awards Program. Each grant will total up to $275,000, including:

- **$225,000 of unrestricted funding**, to be used flexibly by the artist over three to five years, starting from the date the awards are announced. The intent of this funding is to allow the artists to take creative risks, explore new ideas, and pay for important needs.
- **Up to $25,000 restricted for audience development or arts education activities**, contingent upon DDF's receipt and approval of a budget and work plan for expanding audiences for artistic work and/or arts education activities.
- **Up to $25,000 as an incentive for the artist to save for his/her artistic future.**

(2) Each grant awarded shall have a grant agreement detailing the terms and conditions for use of the grant funds, including annual reporting on use of the grants. DDF agrees to submit a draft template of the grant agreement to DDCF for review and comment. In addition to other terms and conditions, the agreement template must also includes the following language "[Grant Recipient] shall comply with all applicable state, city, and federal laws, ordinances, codes, and regulations. In addition you shall comply with not-for-profit rules forbidding the carrying on of propaganda or otherwise attempting to influence legislation or intervention in (including the publishing or

distribution of statements) any political campaign on behalf of any candidate for public office. [Grant Recipient] shall obtain all permits, licenses and approvals required and shall comply with all laws in connection therewith."

(3) DDF will make payments to each individual artist in accordance with the grant agreement and the approved grant payout schedule determined with each artist.

(4) DDF will maintain files on each grant awarded and monitor the programmatic and financial progress of each Artist Award recipient

***Collaboration with Program Partner***

(5) DDF agrees to work collaboratively with the Creative Capital Foundation (CCF), which has been selected and funded by DDCF to be the implementation partner for the Awards Program, to achieve the goals of the Awards Program. DDF further agrees to enter into an agreement with CCF that describes the responsibilities of each organization to each other with respect to the Awards Program.

***Payment of Grant Funds***

(6) Grant payments will be linked with the payout schedules determined by DDF with each artist. DDF plans to make payments to artists on or about April 15, May 15, November 15, and December 15 each year Approximately ten days prior to each payment date, DDF will provide DDCF with a projection of its cash needs. Upon receipt and approval of the cash projections, DDCF will schedule a payment to DDF. In the event that additional cash is needed during the year, DDF may request additional payments from DDCF, DDCF will evaluate each such request within the context of its overall payout goals for the year and the Grant

***Expenditure Responsibility Requirements***

(7) DDF agrees to repay to DDCF any portion of the amount granted as well as income earned thereon which is not used for the purposes of the Grant stated above;

(8) From the time the Grant is made or any portion of the Grant is received until it is fully expended or otherwise terminated, DDF agrees to submit full and complete annual narrative and financial reports and a final report upon completion of the grant period, attested by the responsible financial officer of DDF or a certified public accountant, within a reasonable period of time after the close of DDF's annual accounting period on the manner in which the Grant and income earned thereon are spent, compliance with the terms of the Grant, what was accomplished by the expenditure of funds (including a description of the progress made in accomplishing the purposes of the Grant); including a listing of each grant awarded describing the grant recipient, amount awarded, project support, amount paid during the reporting period, and future payout scheduled by year

(9) DDF agrees to report the Grant separately on its books of account and to charge expenditures made in furtherance of the Grant purposes against the Grant

(10) DDF agrees to maintain written records of receipts and expenditures adequate to enable the use of the Grant funds to be checked readily and to make DDF's books, records and other information available for DDCF's inspection at reasonable times, which DDCF believes necessary to keep DDCF fully appraised of the status or use of the Grant or income arising therefrom, including any information regarding the ultimate effect of the Grant, whether or not required under the terms of section 4945 of the Internal Revenue code of 1986, as amended (the "Code");

(11) DDF agrees to keep these records of receipts and expenditures and copies of reports submitted to DDCF for at least four years after completion of the use of the Grant funds; and

(12) DDF agrees not to use any of the Grant or income arising therefrom for any of the following purposes:

a) To carry on propaganda, or otherwise attempt to influence legislation (within the meaning of section 4945(d)(1) of the Code),

b) To influence the outcome of any specific public election, or to carry on, directly or indirectly, any voter registration drive (within the meaning of section 4945(d)(2) of the Code),

c) To make any grant which does not comply with the individual grant requirements of section 4945(d)(3) of the Code or the organization grant requirements of section 4945(d)(4) of the Code, or

d) To undertake any activity for any purpose other than one that is charitable, scientific, literary, educational or for the prevention of cruelty to animals, all as defined in section 170(c)(2)(B) of the Code

**Qualifying Distribution**

DDF also agrees that no later than the end of its first taxable year after the taxable year in which it receives a Grant payment from DDCF, it will make a qualifying distribution out of corpus, as defined in section 4942 of the Code, equal to the value of the Grant payment, and, within such time period, DDF agrees to provide adequate records or other sufficient evidence to DDCF to demonstrate that this distribution has been made. Such records or evidence will state that the qualifying distribution has been made and will specify (i) the names and addresses of the recipients of any such qualifying distribution and the amounts paid to each, (ii) the details concerning the payment of any operating expenses which are a part of such qualifying distribution and (iii) the details concerning any operating expenses paid during any of the preceding five years which DDF elects pursuant to Treas. Reg 53 4942(A)3(c)(2)(iv) to treat as a current distribution of corpus in order to make such qualifying distribution. Such records or evidence will also state that the qualifying distribution would be treated as a distribution of corpus under section 4942 of the Code if DDF were not an operating foundation.

In the event that DDF violates the terms of this Letter Agreement by using any portion of this Grant or any income thereon for purposes other than the purpose of the Grant as previously set forth in this letter, DDF agrees that it will refund to DDCF the full amount of the Grant and pay over to DDCF any additional amount which may be necessary to effect a correction under section 4945 of the Code.

The foregoing conditions are intended to comply with obligations under United States law to make reasonable efforts and establish adequate procedures to see that grant funds are spent solely for the purposes for which they are granted, and to obtain full and complete records on how grant funds have been expended. Changes in United States laws, or in regulations interpreting them, may require DDCF to ask that more detailed reports be submitted or that other steps be taken. The DDCF will promptly inform DDF of any such changes, and by signing this letter you indicate DDF's agreement to provide such additional information and comply with such requests.

If this letter correctly sets forth your understanding of the arrangements made regarding this Grant, please countersign the letter and return it to the Doris Duke Charitable Foundation.

Sincerely,

Edward P. Henry
President

Accepted and agreed for **Doris Duke Foundation:**

Peter Simmons, Chief Operating Officer

12/23/15
Date

October 28, 2016

Ms. Amy Winsor
Director of Finance
Newport Restoration Foundation
51 Touro Street
Newport, Rhode Island 02840

Dear Ms. Winsor:

The Doris Duke Charitable Foundation has made grants to the Newport Restoration Foundation in 2015 totaling $2,625,000 to be used for Rough Point's general operating expenses (referred to collectively as the "Grant"). Because the Newport Restoration Foundation is a private foundation, rather than a publicly supported charity, this Grant is subject to the "expenditure responsibility" requirements contained in the Treasury regulations. Under these regulations, the Doris Duke Charitable Foundation is required to obtain certain written commitments from the Newport Restoration Foundation before making payment of the Grant funds. By signing this letter, you agree on behalf of the Newport Restoration Foundation to the following specific obligations with respect to this Grant:

(1) To repay any portion of the amount granted as well as income earned thereon which is not used for the purposes of the Grant stated above;

(2) From the time the Grant is made or any portion of the Grant is received until it is fully expended or otherwise terminated, to submit a full and complete annual narrative and financial reports and a final report upon completion of the grant period, attested by the responsible financial officer of your organization or a certified public accountant, within a reasonable period of time after the close of your annual accounting period on the manner in which the Grant and income earned thereon are spent, compliance with the terms of the Grant, what was accomplished by the expenditure of funds (including a description of the progress made in accomplishing the purposes of the Grant);

(3) To report the Grant separately on your books of account and to charge expenditures made in furtherance of the Grant purposes against the Grant.

(4) To maintain written records of receipts and expenditures adequate to enable the use of the Grant funds to be checked readily and to make your books, records and other information available for the Doris Duke Charitable Foundation's inspection at reasonable times, which we believe necessary to keep us fully appraised of the status or use of the Grant or income arising there from, including any information regarding the ultimate effect of the Grant, whether or not required under the terms of section 4945 of the Internal Revenue code of 1986, as amended (the "Code");

(5) To keep these records of receipts and expenditures and copies of reports submitted to the Doris Duke Charitable Foundation for at least four years after completion of the use of the Grant funds; and

(6) Not to use any of the Grant or income arising there from,

(a) To carry on propaganda, or otherwise attempt to influence legislation (within the meaning of section 4945(d)(1) of the Code),

(b) To influence the outcome of any specific public election, or to carry on, directly or indirectly, any voter registration drive (within the meaning of section 4945 (d)(2) of the Code),

(c) To make any grant which does not comply with the individual grant requirements of section 4945(d)(3) of the Code or the organization grant requirements of section 4945(d)(4) of the Code, or

(d) To undertake any activity for any purpose other than one that is charitable, scientific, literary, educational or for the prevention of cruelty to animals, or as defined in section 170(c)(2)(B) of the Code.

In the event that you violate the terms of this letter agreement by using any portion of this Grant or any income thereon for purposes other than the purpose of the Grant as previously set forth in this letter, you agree that you will refund to the Doris Duke Charitable Foundation the full amount of the Grant and pay over to the Doris Duke Charitable Foundation any additional amount which may be necessary to effect a correction under section 4945 of the Code.

The foregoing conditions are intended to comply with obligations under United States law to make reasonable efforts and establish adequate procedures to see that grant funds are spent solely for the purposes for which they are granted, and to obtain full and complete records on how grant funds have been expended. Changes in United States laws, or in regulations interpreting them, may require the Doris Duke Charitable Foundation to ask that more detailed reports be submitted or that other steps be taken. The Doris Duke Charitable Foundation will promptly inform you of any such changes, and by signing this letter you indicate your agreement to provide such additional information and comply with such requests.

The Newport Restoration Foundation also agrees that no later than the end of its first taxable year after the taxable year in which it receives the Grant, it will make a qualifying distribution out of corpus, as defined in section 4942 of the Code, equal to the value of the Grant, and, within such time period, the Newport Restoration Foundation agrees to provide adequate records or other sufficient evidence to the Doris Duke Charitable Foundation to demonstrate that this distribution has been made. Such records or evidence will state that the qualifying distribution has been made and will specify (1) the names and addresses of the recipients of any such qualifying distribution and the amounts paid to each, (ii) the details concerning the payment of any operating expenses

which are a part of such qualifying distribution and (iii) the details concerning any operating expenses paid during any of the preceding five years, which the Newport Restoration Foundation elects pursuant to Treas. Reg. 53.4942(A)-3(c)(2)(iv) to treat as a current distribution of corpus in order to make such qualifying distribution. Such records or evidence will also state that the qualifying distribution would be treated as a distribution of corpus under section 4942 of the Code if the Newport Restoration Foundation were not an operating foundation.

If this letter and its attachment correctly set forth your understanding of the arrangements made regarding this Grant, please countersign the letter and return it to the Doris Duke Charitable Foundation.

Very truly yours,

The Doris Duke Charitable Foundation

By: Edward P. Henry
Edward P. Henry, President

Agreed to and accepted on behalf of the Newport Restoration Foundation this 31st day of October, 2016

By: Amy Winsor
Amy Winsor, Director of Finance

NEWPORT RESTORATION FOUNDATION
*Founded by Doris Duke, 1968*

51 TOURO STREET
NEWPORT, RHODE ISLAND 02840-2932
*Telephone* 401.849.7300
*Facsimile* 401.849.0125
*www.newportrestoration.org*

October 31, 2016

Mr. Edward P. Henry
President
Doris Duke Charitable Foundation
650 Fifth Avenue, 19th Floor
New York, New York 10019

Dear Mr. Henry:

In 2015, the Doris Duke Charitable Foundation ("DDCF") made grants totaling $2,625,000 to the Newport Restoration Foundation ("NRF") in support of Rough Point. By a letter dated October 28, 2016, I agreed on behalf of NRF to submit certain reports to DDCF for each year during which any grant funds remained unspent and a final report for the year in which all of the grant funds were spent. This is a report covering the portion of the grant funds spent in 2015.

**Name and address of grantee:**

Newport Restoration Foundation
51 Touro Street
Newport, Rhode Island 02840

**Purpose of Grants:**

To be used for Rough Point's general operating expenses. The Rough Point Property owned by NRF is used for a charitable purpose since it is a historic house, which is open to the public.

**The following table contains the date of payment of each grant, the amount of the grant, and a description of how the grant was spent by NRF:**

| Date of Payment | Amount of Grant | Purpose for which Grant was Used |
|---|---|---|
| 01/12/15 | $757,500 | Employee Related Expenses; General Operating Expenses; General Administrative Expenses and Capital Expenses |
| 03/09/15 | $757,500 | " " |
| 06/08/15 | $757,500 | " " |
| 09/14/15 | $252,500 | " " |
| 12/09/15 | $100,000 | " " |

All of the grant funds have been spent for Rough Point's general operating expenses, and no portion of the grant funds has been diverted from such purpose.

In addition, in the letter dated October 28, 2016, I represented that before the end of 2015 NRF would make a qualifying distribution out of corpus as defined in Section 4942 of the Internal Revenue Code, in the amount of $2,625,000 and that I would provide DDCF with adequate records or other sufficient evidence to demonstrate that this distribution has been made.

As described above, $2,521,543 of the grant funds were spent for reasonable and necessary administration expenses to accomplish NRF's charitable purposes, which are qualifying distributions, and $103,457 will be spent in 2016. Therefore, a qualifying distribution was made of $2,521,543 of the grant funds in 2015. Since NRF has otherwise made qualifying distributions equal to the amount of its minimum investment return, this distribution would be treated as a distribution out of corpus if NRF were not a private operating foundation. NRF will make a qualifying distribution out of corpus of the balance of the grant funds in 2016.

Very truly yours,
Newport Restoration Foundation

By: _____
Amy Winsor
Director of Finance

WHAT IS MISSING?

10/26/2016

Adrienne A Fisher
Director of Grants Management
Doris Duke Charitable Foundation
650 Fifth Avenue, 19th Floor
New York, NY 10019

Re Doris Duke Charitable Foundation Grant No 2014139

Dear Ms. Fisher

In 2014, the Doris Duke Charitable Foundation (DDCF) made a grant to What is Missing? Foundation totaling $50,000 (the "Grant")

By grant agreement dated August 14, 2014 (the "Grant Agreement"), What is Missing Foundation agreed to submit an expenditure responsibility report (as required by Treas Reg §53 4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent In addition, in the Grant Agreement, the What is Missing Foundation represented that before the end of 2015, it would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of the Grant, and that it would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made

Name and address of grantee

What is Missing? Foundation
39 Bond Street, 4th floor
New York, NY 10012

Purpose of Grant To support development and implementation of phase three of Greenprint for the Future

Use of Qualifying Distribution Grant funds by What is Missing Foundation

This is a report for calendar year 2015 $39,000 of the grant funds were expended in 2015 toward phase three of the Greenprint for the Future project, as described in the narrative report submitted to DDCF on February 1, 2016 and the financial report dated February 1, 2016

No portion of the grant funds has been diverted from the approved purpose of the Grant

This is the final expenditure responsibility report on this grant

Sincere thanks and appreciation,

Maya Lin
President
What is Missing? Foundation

# Doris Duke Charitable Foundation
## Financial Report

**GRANTEE:** What is Missing? Foundation **GRANT #:** 2014139 **Reporting Period:** 01/01/2015 - 12/31/2015

| | BUDGET CATEGORIES (add rows if needed) | Cumulative DDCF Expenditures Previously Reported through (Date) | Current Reporting Period DDCF Support: Approved Budget 01/01/2015 - 12/31/2015 | Actual Expenditures 01/01/2015 - 12/31/2015 | Variance 01/01/2015 - 12/31/2015 | Brief Explanation (use text box at bottom of page for additional space/comments) | Non-DDCF Support: In-Kind | Non-DDCF Support: Other Funding |
|---|---|---|---|---|---|---|---|---|
| A. | **PERSONNEL** | | | | | | | |
| 1 | Staff Positions (add rows if needed) | | | | | | | |
| | Staff - Research, Design, & Infographics | | 15,400 | 15,400 | - | | | 14,965 |
| | Staff - In-House Topic Specific Researcher | | 15,600 | 15,600 | - | | | 2,790 |
| | Staff - Research, Video, Infographics | | 2,260 | 2,260 | - | | | 11,776 |
| | Staff - Outside Graphic Designer | | 3,060 | 3,060 | - | | | |
| | | | | | - | | | |
| | | | | | - | | | |
| | Total Salaries | | $ 36,320 | $ 36,320 | $ - | | $ - | $ 29,531 |
| 2 | Fringe benefits (Rate ___%) | | | | - | | | |
| | **TOTAL PERSONNEL** | $ 10,600 | $ 36,320 | $ 36,320 | $ - | | $ - | $ 29,531 |
| B. | ***OTHER COSTS*** | | | | | | | |
| 1 | Office Supplies | | | | - | | | |
| 2 | Printing | | | | - | | | |
| 3 | Space Rental | | | | - | | | |
| 4 | Equipment Rental or Purchase | | | | - | | | |
| 5 | Postage/Mailing | | | | - | | | |
| 6. | Travel | | | | - | | | |
| 7 | Conferences | | | | - | | | |
| 8 | Consultants | | 2,680 | 2,680 | - | | | 51,743 |
| 9. | Telephone | | | | - | | | |
| 10 | Other (List below, add rows if needed) | | | | - | | | |
| | | | | | - | | | |
| | **TOTAL OTHER COSTS** | $ 400 | $ 2,680 | $ 2,680 | $ - | | $ - | $ 51,743 |
| C. | **Total Direct Costs** | $ 11,000 | $ 39,000 | $ 39,000 | $ - | | $ - | $ 81,274 |
| D. | **INDIRECT COSTS** | | | | - | | | |
| | **GRAND TOTAL** | $ 11,000 | $ 39,000 | $ 39,000 | $ - | | $ - | $ 81,274 |

| FINANCIAL SUMMARY | |
|---|---|
| Total DDCF Payments to Date; | $50,000 |
| Total Interest Earned to Date, | $8 |
| **Total Payments + Interest (auto-calculated)** | $50,008 |
| Prior Expenditures Reported (auto-calculated from above) | $11,000 |
| Current Expenditures (auto-calculated from above) | $39,000 |
| Total Spent to Date (auto-calculated) | $50,000 |
| **Funds Remaining (auto-calculated)** | $8 |

[redacted] **Please provide both the excel sheet and signed PDF**

| Financial Report Contact / Approval | |
|---|---|
| Name, Title | Maya Lin, Founder, President of What is Missing? |
| Email | maya@whatismissing.net |
| Phone | 212 941 7463 |
| Financial Officer Signature | [signature] |
| Date | 2/1/16 |
| **Primary Contact for grant** | |
| Print Name | Maia Lynch |
| Signature | [signature] |
| Date | 2/1/16 |

Financial Report Narrative - additional variance explanation

In addition to funds received from the Dons Duke Chantable Foundation, support for "Greenprint for the Future" was provided by the JPB Foundation ($50,000), the Robert Rauschenberg Foundation ($25,000), and the V. Kann Rasmussen Foundation ($100,000). There have been no major deviations from the project's original financial budget proposal

# Doris Duke Charitable Foundation
## GRANT AGREEMENT
## (Expenditure Responsibility)

This Grant Agreement sets forth the terms of the 16-month $50,000 grant (the "Grant") by the Doris Duke Charitable Foundation ("DDCF") to What Is Missing Foundation ("GRANTEE") to cover the period September 1, 2014 through December 31, 2015. References to the "Grant Agreement" shall include this Agreement as well as the proposal and budget submitted June 19, 2014 ("the Grant Documentation"). The purpose of the Grant is to support development and implementation of phase three of *Greenprint for the Future*.

The Grant, which will be considered approved only after final execution of this document, is made subject to the following terms and conditions:

**Program and Administrative Requirements**

1. The Grant is to be used by GRANTEE in accordance with the Grant Agreement and may not be used for any other purpose or program of GRANTEE without the prior written approval of DDCF.
2. DDCF, through its designated program director, must be consulted in advance in the event that any aspect of the program is changed or redesigned.
3. GRANTEE shall ensure that the terms and conditions of all sub-agreements to support work with funds from this Grant (e.g., memoranda of understanding, major subcontract, re-granting agreements, etc.) are in accordance with the terms of this Grant Agreement. GRANTEE further agrees to provide DDCF with copies of such sub-agreements should DDCF request them for its monitoring purposes.
4. Advance notice of all major meetings, seminars and workshops relating to this project must be provided to DDCF.
5. GRANTEE agrees that not later than the end of its first taxable year after the taxable year in which it receives the DDCF grant payment, it will make a qualifying distribution out of corpus, as defined in section 4942 of the Internal Revenue Code (IRC), equal to the value of the Grant, and within such time period the GRANTEE agrees to provide adequate records or other sufficient evidence to DDCF to demonstrate that this distribution has been made. Such records or evidence will also state that the qualifying distribution was a distribution out of corpus under section 4942 of the IRC.
6. No funds may be used to:
   a) Carry on propaganda, or otherwise attempt to influence legislation (as defined by Section 4945 of the IRC);
   b) influence the outcome of any specific public election, or carry on, directly or indirectly, any voter registration drive (as defined in IRC Section 4945);
   c) make an individual grant or re-grant funds to another organization unless the requirements of IRC 4945 are met; or
   d) advance a purpose that is not specified in Section 170(c)(2)(B) of the Internal Revenue Code.

**Tax Exempt Status**

1. DDCF is making the Grant in reliance on the determination by the Internal Revenue Service that GRANTEE is an organization described in section 501(c)(3) of the Internal Revenue Code of 1986, as amended (the "Code") and that it is a private foundation. Accordingly, GRANTEE certifies that there are no issues presently pending before any office of the Internal Revenue Service that could result in any change to the tax status determination and agrees to notify DDCF immediately in writing of any changes to its tax-exempt status or its status as a publicly supported organization.
2. No part of the Grant will be used for a purpose that is not specified in Section 170(c)(2)(B) of the Internal Revenue Code, and no part of the Grant will be used for any political lobbying activity.

**Payment and Expenditure of Grant Funds**

An ACH transfer for the full amount of the Grant will be made to GRANTEE's bank upon receipt by DDCF of the Grant Agreement signed by a duly authorized representative of GRANTEE.

All interest income earned on the investment of the Grant from the time of the award to expenditure is to be used for the purposes described in the Grant Documentation.

These grant funds are restricted to the uses as described above and are to be used as represented in the approved budget included in the Grant Documentation. These grant monies are not to be used in any other way or for any other purposes without the prior written approval of DDCF. *Budget revisions of 10% or more of the total approved budget for the Grant and/or any significant changes in the original program plan must be reported and approved in writing in advance by DDCF.*

**Reporting and Record Keeping Requirements**

1. GRANTEE shall submit to DDCF full and complete annual written reports in accordance with the schedule below, to cover (a) the use of the grant funds, (b) compliance with the terms of the grant, and (c) the progress made by the GRANTEE toward achieving the purposes for which the Grant was made. Annual reports must be provided for the year of receipt of the Grant, and for all subsequent years until the grant funds are expended in full or the grant is otherwise terminated.

| Date Due | Report Type | Period Covered |
|---|---|---|
| 2/1/2015 | Annual Progress and Financial Report | 9/1/2014 – 12/31/2014 |
| 2/1/2016 | Final Progress and Financial Report | 1/1/2015 – 12/31/2015 |

2. Reports shall containing the following components:
   a. narrative and description of accomplishments, challenges and future plans of the funded project;
   b. copies of representative materials, brochures, reports, and other materials relating to the project, as well as representative media coverage, if any;
   c. GRANTEE's most recent audited financial statements *that have not already been submitted to* DDCF. If the audited statement is not available at the time of the report's submission,

GRANTEE should submit a copy of the unaudited statement or 990PF tax return and follow up by submitting the audited statement as soon as it is available; and

d. separate accounting for the project funding. The accounting should include a detailed comparison of actual expenses to the approved line-item budget. Include an explanation for any overages and/or unspent funds and any revised budget and budget narrative for the following year, where appropriate. Please note: if the approved budget indirect costs as a percent of direct program costs, the indirect rate should be applied to actual expenditures during each period covered by the report.

3. The GRANTEE is expected to maintain complete books and records of revenues and expenditures relating to the Grant, together with appropriate supporting documentation. These books and records are to be made available for inspection at reasonable times if deemed necessary by DDCF. DDCF, at its expense, may audit or have audited the records of the GRANTEE insofar as they relate to the disposition of the funds granted by DDCF, and the GRANTEE shall provide all necessary assistance in connection therewith. Records on the Grant must be kept for at least four (4) years after completion of the Grant.

4. One copy of the report should be submitted to DDCF's Director of Grants Management. Please include your grant number (#2014139) on the cover page of the report.

**Acknowledgment**

Acknowledgment for the Grant should include:

1. A general acknowledgment of DDCF among GRANTEE's list of annual funders in all appropriate programs, publications and public announcements for the grant period.

2. Use of the complete Foundation name, "Doris Duke Charitable Foundation," in any public documents pertaining to the Grant. Prominence of acknowledgment should be commensurate with level of funding relative to other funding sources.

**Publicity and Announcement**

1. DDCF reserves the right to announce the Grant publicly in a manner and at a time of its choosing. DDCF further reserves the right to include information relating to the Grant in any materials issued by or on behalf of DDCF, including on its website. When practicable, DDCF will provide GRANTEE with an opportunity to review press releases prior to publication

2. DDCF (through its Communications Officer, below) must be informed in advance of any public announcement about the Grant and must be given at least three business days prior to public release to review and approve a draft of each proposed announcement. Public announcement includes press releases, newsletters, website content, invitations to DDCF-sponsored events or events in which work funded by the Grant will be presented. If requested, DDCF will work with the GRANTEE to design a strategy for announcing the Grant.

3. Any press releases about the Grant must conform to the following guidelines:

   a. DDCF should be named in the first paragraph, and provision should be made in the release for a quote from a senior representative of DDCF.

   b. The following description of the DDCF should be included in the announcement:

   "The mission of the Doris Duke Charitable Foundation is to improve the quality of people's lives through grants supporting the performing arts, environmental

conservation, medical research and child well-being, and through preservation of the cultural and environmental legacy of Doris Duke's properties."

4. Any marketing and educational materials that include mention of DDCF must be provided to DDCF for review and approval at least three business days prior to public release
5. All inquiries regarding communications about the Grant as well as requests to use DDCF's logo shall be directed to DDCF's Communications Officer, Kristin Roth-Schrefer (kschrefer@ddcf.org).

**Conditions Necessitating a Refund to DDCF or Withholding of Grant Funds**

If any of the following circumstances occur, DDCF may, at its discretion, in addition to other remedies available to it, require that GRANTEE repay, upon 30-days written notice, the full amount of the Grant funds which were unspent or inappropriately or reversibly committed as of the date of the occurrence, and DDCF shall have no further obligation to distribute any unpaid portion of the Grant to GRANTEE:

1. The purpose of the Grant has been fully completed or the period of time indicated in the Grant Agreement for the completion of the purpose of the Grant has expired (without being extended with the consent of DDCF).
2. GRANTEE is no longer exempt from federal taxation as an organization described in Section 501(c)(3) of the Internal Revenue Code or becomes a Type III supporting organization as defined in Section 509(a) of the Code. GRANTEE agrees to notify DDCF immediately upon the occurrence of this circumstance.
3. If, in DDCF's judgment, GRANTEE, for any reason, becomes unable to carry out the purpose of the Grant stated in the Grant Agreement, or otherwise violates the terms of the Grant Agreement.
4. DDCF conveys to GRANTEE in writing any concerns about the stability of GRANTEE's operations or organization or its compliance with the terms of this Grant Agreement and the concerns are not addressed to DDCF's satisfaction within a 45-day period after notice

**No Assignment or Delegation**

GRANTEE may not assign or otherwise transfer any of its rights or delegate any of its obligations under the Grant Agreement or with respect to the Grant.

Acceptance by the **Doris Duke Charitable Foundation:**

By: Edward P. Henry
Edward P. Henry, President

Accepted and agreed:

Aug 14, 2014

By: Maya Lin
Maya Lin
President

**What Is Missing Foundation**

**Doris Duke Charitable Foundation**
**Form 990-PF - Return of Private Foundation**
**FYE: 12/31/2015**
**Attachment 13**

**Form 990-PF, Part VIII - List of Officers, Directors and Trustees**

| Name | Title | Hrs Worked | Comp | Employee Benefits | Expense Accounts |
|---|---|---|---|---|---|
| John Zuccotti | Chairperson | 108 hours per year | $ 22,819 | NONE | NONE |
| Anthony S Fauci | Vice Chairperson | 96 hours per year | NONE | NONE | NONE |
| Kathy Halbreich | Trustee | 84 hours per year | $ 97,819 | NONE | NONE |
| Harry Demopoulos | Trustee | 96 hours per year | $ 97,819 | NONE | NONE |
| Jide Zeitlin | Trustee | 108 hours per year | NONE | NONE | NONE |
| James F Gill | Trustee | 120 hours per year | $ 97,819 | NONE | NONE |
| Peter A Nadosy | Trustee | 120 hours per year | NONE | NONE | NONE |
| William H. Schlesinger | Trustee | 120 hours per year | $ 97,819 | NONE | NONE |
| Nannerl O Keohane | Trustee | 120 hours per year | $ 48,909 | NONE | NONE |
| Angela K Mwanza | Trustee | 96 hours per year | $ 50,000 | NONE | NONE |
| Nicholas Scoppetta | Trustee | 84 hours per year | $ 50,000 | NONE | NONE |
| Edward P. Henry | Chief Executive Officer/President | 28 hours per week | NONE | NONE | NONE |
| Peter Simmons | Chief Operating Officer/Treasurer | 12 hours per week | NONE | NONE | NONE |
| Erica Dziedzic | Secretary/Counsel | 12 hours per week | NONE | NONE | NONE |
| | **Total Compensation** | | **$ 563,002** | - | - |

All trustees and officers provide services to five related entities (Doris Duke Charitable Foundation, Doris Duke Management Foundation, Duke Farms Foundation, Doris Duke Foundation for Islamic Art, Doris Duke Foundation), and may be reached at the Doris Duke Charitable Foundation's corporate address at 650 Fifth Avenue, 19th Floor, NY, NY, 10019
See Attachment 13(a) Note (1), Note (2) and Note (3) for further information.

**Doris Duke Charitable Foundation**
**Form 990-PF - Return of Private Foundation**
**FYE: 12/31/2015**
**Attachment 13A**

Notes:
(1) Compensation reported for the trustees disclosed on this schedule reflects payment for each individual's board service in 2014. The actual cash payments were made in January of 2015 (and the amounts have been reported on the Form 990-PF in Part I, Line 13 (d)) as part of the Foundation's current year charitable disbursements.

(2) The officers are paid compensation by the Doris Duke Management Foundation (DDMF). The hours shown on the Form 990-PF are based on an allocation of time spent on matters related to the Doris Duke Management Foundation (DDMF) and are for informational purposes only. These officers provide services to other related entities (Doris Duke Foundation (DDF), Doris Duke Management Foundation (DDMF), Duke Farms Foundation (DFF), and Doris Duke Foundation for Islamic Art (DDFIA)) and in the aggregate, hours worked on matters related to these entities equal or exceed 40 hours a week. The allocation of compensation paid by the Doris Duke Management Foundation and allocated to other related entities is based on an annual survey and is included in the management fee shown on Line 23, Part I, Other Expenses.

(3) The trustees who receive compensation are paid by the Doris Duke Charitable Foundation, even though they provide services to each of the five foundations (DDCF, DDMF, DDF, DFF, and DDFIA). The hours reported on Attachment 13 of the Form 990-PF represent an allocation of the trustees' time spent on matters related to DDCF including attendance at Board meetings and various foundation-related events and discussions. These hour allocations are reported to comply with the Form 990-PF reporting requirement, and are for informational purposes only. Trustees have oversight responsibilities and perform multiple tasks across all five foundations; and thus, significant additional hours are reported on the DDMF, DDF, DFF, DDFIA tax returns.

990PF, PART VIII- COMPENSATION OF THE FIVE HIGHEST PAID PROFESSIONALS

ATTACHMENT 14

| NAME AND ADDRESS | TYPE OF SERVICE | COMPENSATION |
|---|---|---|
| THE NORTHERN TRUST COMPANY<br>50 LASALLE STREET<br>CHICAGO, IL 60675 | INVESTMENT MGMT FEES | 519,690. |
| OBERWEIS ASSET MANAGEMENT<br>3333 WARRENVILLE RD.<br>LISLE, IL 60532 | INVESTMENT MGMT FEES | 382,179. |
| SILCHESTER INTERNATIONAL<br>780 THIRD AVENUE<br>NEW YORK, NY 10017 | INVESTMENT MGMT FEES | 345,316. |
| WALTER SCOTT & PARTNERS<br>ONE CHARLOTTE SQUARE EH2 4DR<br>EDINBURGH<br>LONDON<br>UNITED KINGDOM | INVESTMENT MGMT FEES | 295,742. |
| ALBOURNE AMERICA LLC<br>655 MONTGOMERY ST, SUITE 1910<br>SAN FRANCISCO, CA 94111 | INVESTMENT MGMT FEES | 240,000. |
| | TOTAL COMPENSATION | 1,782,927. |

FORM 990-PF, PART XVI-A - ANALYSIS OF OTHER REVENUE

ATTACHMENT 15

| DESCRIPTION | BUSINESS CODE | AMOUNT | EXCLUSION CODE | AMOUNT | RELATED OR EXEMPT FUNCTION INCOME |
|---|---|---|---|---|---|
| ATE WITHOLDING TAX REFUNDS | | | 01 | 23,198. | |
| SCELLANEOUS INCOME | | | 01 | 2,360. | |
| TOTALS | | | | 25,558. | |

**Doris Duke Charitable Foundation**
**Form 990-PF - Return of Private Foundation**
**FYE: 12/31/2015**
**Attachment 16**

**FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID**

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | GRANTS PAID |
|---|---|---|
| PROGRAM GRANTS | No Relationship | 65,559,056 |
| NEWPORT RESTORATION FOUNDATION(NRF) | No Relationship | 2,625,000 |
| DUKE FARMS FOUNDATION | Related Entity | 14,613,922 |
| DORIS DUKE FOUNDATION FOR ISLAMIC ART | Related Entity | 7,984,784 |
| DONATIONS TO DUKE UNIVERSITY | No Relationship | 21,600 |
| Less: Doris Duke Foundation for Islamic Arts Building Bridges Grants | Related Entity | (2,482,503) |
| Less: Doris Duke Foundation Artists' Awards | Related Entity | (5,324,079) |
| **TOTAL** | | **82,997,781** |

# PART XV - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| SUMMARY BY PROGRAM AREA | Amount Paid 2015 |
|---|---|
| TOTAL AFRICAN HEALTH INITIATIVE | $1,711,566 |
| TOTAL ARTS | $14,987,500 |
| TOTAL ARTS INITIATIVE | $8,482,824 |
| TOTAL CHILD WELL-BEING | $6,432,342 |
| TOTAL ENVIRONMENT | $16,560,752 |
| TOTAL MEDICAL RESEARCH | $15,647,416 |
| TOTAL CROSS PROGRAM GRANTS | $437,665 |
| TOTAL MEDIA FUND | $778,945 |
| TOTAL PHILANTHROPIC SECTOR/OTHER | $520,046 |
| **GRAND TOTAL** | **$65,559,056** |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **AFRICAN HEALTH INITIATIVE** | | | |
| **Brigham and Women's Hospital Inc**<br>75 Francis Street<br>Boston, MA 02115<br>*To support research expenses for three supplement papers on PHIT partnerships* | $14,100<br>2015 | PC | 14,100 |
| **Trustees Of Columbia University In The City of New York**<br>60 Haven Avenue, B2<br>New York, NY 10032<br>*Accelerating Millennium Development Goal Progress by Exchanging Health System Innovations betwee Tanzania and Ghana* | $17,512,911<br>2009 | PC | 423,511 |
| **Health Alliance International**<br>1107 NE 45th Street, Suite 350<br>Seattle, WA 98105<br>*Strengthening Integrated Primary Health Care and Workforce Training in Sofala Province, Mozambique Province, Mozambique* | $11,880,000<br>2009 | PC | 986,345 |
| **University of Cape Town Fund, Inc.**<br>132 East 43rd St<br>New York, NY 10017<br>*To support Implementing large-scale health system strengthening interventions: experience from the DDCF African Health Initiative* | $644,700<br>2013 | PC | 164,700 |
| **University of North Carolina at Chapel Hill**<br>134 East Franklin Street, Campus Box 3233<br>Chapel Hill, NC 27599<br>*Clinical Mentoring and Community Engangement to Improve Millenium Development Goals Health Outcomes in Lusaka Province of Zambia* | $12,837,300<br>2009 | PC | 122,910 |
| **TOTAL African Health** | | | **$1,711,566** |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **ARTS** | | | |
| **Alliance of Resident Theatres New York, Inc.**<br>520 Eighth Avenue, Suite 319<br>New York, NY 10018<br>*To support startup of ArtsPool which provides administrative and support services to nonprofit arts organizations in New York City through a cooperative and shared infrastructure* | $100,000<br>2015 | PC | 100,000 |
| **Alvin Ailey Dance Foundation Inc**<br>The Joan Weill Center for Dance<br>405 West 55th Street<br>New York, NY 10019<br>*Leadership Grants Program for Dance* | $500,000<br>2015 | PC | 368,750 |
| **American Repertory Theatre**<br>64 Brattle Street<br>Cambridge, MA 02138<br>*Adaptive Capacity Initiative* | $1,000,000<br>2013 | PC | 162,630 |
| **American Theatre Wing Inc**<br>230 West 41st Street, Suite 1101<br>New York, NY 10036<br>*To support the use of new media practices that engage audiences on their computers and mobile devices* | $225,000<br>2014 | PC | 106,250 |
| **The Apollo Theater Foundation Inc**<br>253 West 125th Street<br>New York, NY 10033<br>*To support the New York premiere of the new opera, Charlie Parker's Yardbird* | $50,000<br>2015 | PC | 50,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Appalshop, Inc.**<br>91 Madison Ave.<br>Whitesburg, KY 41858<br>*To support "Performing Our Future" helping communities tap their rich cultural assets for economic and civic development* | $225,000<br>2015 | PC | 144,125 |
| **Arts Midwest**<br>2908 Hennepin Ave, Suite 200<br>Minneapolis, MN 55408<br>*To disemminate findings of the Building Public Will for Arts and Culture research project* | $25,000<br>2015 | PC | 25,000 |
| **Arts Midwest**<br>2908 Hennepin Ave, Suite 200<br>Minneapolis, MN 55408<br>*To support a series of engagement and messenging strategies that highlight the intersection of existing public values and the values inherent in the arts* | $225,000<br>2015 | PC | 166,250 |
| **Association of Performing Arts Presenters, Inc.**<br>1211 Connecticut Ave NW, Suite 200<br>Washington, DC 20036<br>*Core Support for National Organizations, FY16 & FY 17* | $360,500<br>2015 | PC | 180,250 |
| **Association of Performing Arts Presenters, Inc.**<br>1211 Connecticut Ave NW, Suite 200<br>Washington, DC 20036<br>*To support Building Bridges: Art, Culture and Identity Re-granting Program* | $1,280,000<br>2015 | PC | 775,027 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **AXIS Dance Company**<br>1428 Alice St., Ste. 200<br>Oakland, CA 94612<br>*To support a national convening in 2016 focusing on best practices and the next stage of evoluation for the field of physically integrated dance* | $101,250<br>2014 | PC | 73,012 |
| **AXIS Dance Company**<br>1428 Alice St., Ste. 200<br>Oakland, CA 94612<br>*Leadership Grants Program for Dance* | $250,000<br>2015 | PC | 50,000 |
| **Ballet Hispanico of New York**<br>167 West 89th Street<br>New York, NY 10024<br>*Leadership Grants Program for Dance* | $550,000<br>2015 | PC | 50,000 |
| **Brooklyn Academy of Music, Inc.**<br>Peter Jay Sharp Building<br>30 Lafayette Avenue<br>Brooklyn, NY 11217-1486<br>*Leadership Grants Program for Dance* | $500,000 | PC | 400,000 |
| **Center for Cultural Innovation**<br>244 S. San Pedro Street, Suite 401<br>Los Angeles, CA 90012<br>*To support a study on The Changing Landscape of Artistic Practices* | $30,000<br>2015 | PC | 30,000 |
| **Chamber Music America**<br>12 West 32nd Street, 7th Floor<br>New York, NY 10001-3813<br>*Core Support for National Organizations, FY16 & FY 17* | $150,000<br>2015 | PC | 75,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Chicago Theatre Group Inc**<br>170 N. Dearborn St.<br>Chicago, IL 60601<br>*Theatre Commissioning and Production Program* | $125,000<br>2015 | PC | 100,000 |
| **Cleveland Modern Dance Association**<br>13110 Shaker Sq Ste 106<br>Cleveland, OH 44120-2381<br>*To explore the feasibility of establishing a National Center for Choreography in Northeast Ohio and two pilot residency proejcts* | $73,125<br>2014 | PC | 27,025 |
| **Creative Capital Foundation**<br>15 Maiden Lane, 18th Floor<br>New York, NY 10038<br>*To renew support for three rounds of The Multi-Arts Production Fund (MAP Fund) regranting program* | $4,085,052<br>2013 | PC | 1,411,384 |
| **Creative Capital Foundation**<br>15 Maiden Lane, 18th Floor<br>New York, NY 10038<br>*Core Support for National Organizations, FY16 & FY 17* | $250,000<br>2015 | PC | 125,000 |
| **Cultural Data Project**<br>400 Market Street, Suite 600<br>Philadelphia, PA 19106<br>*To support development of a curriculum to build nonprofit presenting, theatre, and music organizations' data literacy data literacy in order to strengthen vitality, performance and and public impact* | $135,000<br>2014 | PC | 63,750 |
| **Cultural Data Project**<br>400 Market Street, Suite 600<br>Philadelphia, PA 19106<br>*To support a senior research and policy fellow* | $50,000<br>2015 | PC | 50,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Dance USA**<br>1029 Vermont Ave NW, Suite 400<br>Washington, DC 20005<br>*To support round three of Engaging Dance Audiences Regranting Program* | $1,873,000<br>2014 | PC | 701,400 |
| **Dance USA**<br>1029 Vermont Ave NW, Suite 400<br>Washington, DC 20005<br>*Core Support for National Organization , FY16 & FY17* | $220,000<br>2015 | PC | 110,000 |
| **Dance USA**<br>1029 Vermont Ave NW, Suite 400<br>Washington, DC 20005<br>*To support preliminary planning for the 2017 National Dance Summit* | $40,000<br>2015 | PC | 40,000 |
| **Danspace Project Inc**<br>131 East 10th Street<br>New York, NY 10003<br>*Leadership Grants Program for Dance* | $250,000<br>2015 | PC | 50,000 |
| **Danspace Project Inc**<br>131 East 10th Street<br>New York, NY 10003<br>*To support the second phase of "Curatorial Practice in Performance, Practice, Documentation, Dissemination"* | $112,500<br>2015 | PC | 71,875 |
| **Denver Center For The Performing Arts**<br>1101 13th Street<br>Denver, CO 80202-9874<br>*Theatre Commissioning and Production Program* | $125,000<br>2014 | PC | 25,000 |
| **Discalced, Inc**<br>3 Lafayette Ave<br>Brooklyn, NY 11217-1415<br>*Leadership Grants Program for Dance* | $1,000,000<br>2015 | PC | 405,700 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **EcoArts Connections**<br>2590 Walnut Street, Suite 6<br>Boulder, CO 80302-5700<br>*To support Artist Residencies in Conferences* | $25,000<br>2015 | PC | 25,000 |
| **Emc Arts Inc**<br>127 West 122nd Street<br>New York, NY 10027<br>*To support a final round of the Innovation Lab program, benefitting both performing arts organizations and service organizations in theatre, dance, jazz, and presenting presenting* | $1,588,450<br>2014 | PC | 504,225 |
| **Emerson College**<br>120 Boylston Street<br>Boston, MA 02116<br>*Core Support for Center for Theatre Commons, FY16 & FY17* | $121,980<br>2015 | PC | 60,990 |
| **Eugene O'Neill Memorial Theater Center, Inc.**<br>305 Great Neck Rd<br>Waterford, CT 06385<br>*To support the National Directors Institute* | $225,000<br>2014 | PC | 87,500 |
| **Fractured Atlas Inc**<br>248 W 35th St FL 10<br>New York, NY 10001<br>*Core Support for National Organizations, FY16 & FY17* | $470,000<br>2015 | PC | 235,000 |
| **Fractured Atlas Inc**<br>248 W 35th St FL 10<br>New York, NY 10001<br>*To further develop Artful.ly, a technology solution informed by the field that enables artists and arts organizations to streamline operations.* | $84,375<br>2015 | PC | 84,375 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Fractured Atlas Inc**<br>248 W 35th St FL 10<br>New York, NY 10001<br>*To support American Dance Abroad's GLOBAL EXPOSURE project* | $225,000<br>2015 | PC | 145,850 |
| **Gina Gibney Dance Inc**<br>Gibney Dance Choreographic Center<br>890 Broadway, Fifth Floor<br>New York, NY 10003<br>*Operating Support* | $50,000<br>2015 | PC | 50,000 |
| **Grantmakers in the Arts**<br>4055 21st Ave W, Ste 100<br>Seattle, WA 98199<br>*To support the Individual Artists Track at the 2015 Grantmakers in the Arts Conference* | $27,000<br>2015 | PC | 27,000 |
| **Grantmakers in the Arts**<br>4055 21st Ave W, Ste 100<br>Seattle, WA 98199<br>*To support the Information and Communication Initiative* | $20,000<br>2015 | PC | 20,000 |
| **Hubbard Street Dance Chicago Inc**<br>1147 W Jackson Blvd<br>Chicago, IL 60607<br>*Leadership Grants Program for Dance* | $500,000<br>2015 | PC | 255,500 |
| **Jacob's Pillow Dance Festival, Inc.**<br>358 George Carter Road<br>Becket, MA 01223<br>*Leadership Grants Program for Dance* | $500,000<br>2015 | PC | 250,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Jazz at Lincoln Center Inc.**<br>3 Columbus Circle, 12th Floor<br>New York, NY 10019<br>*To support the first Albert Murray Symposium on Jazz Culture and Society* | $225,000<br>2015 | PC | 168,750 |
| **Joyce Theater Foundation Inc**<br>175 Eighth Avenue<br>New York, NY 10011<br>*Leadership Grants Program for Dance* | $500,000<br>2015 | PC | 250,000 |
| **Lincoln Center for the Performing Arts, Inc.**<br>70 Lincoln Center Plaza, 9th Floor<br>New York, NY 10023<br>*To support an in-cinema series presenting leader American dance companies* | $225,000<br>2015 | PC | 225,000 |
| **Alonzo King Lines Ballet**<br>26 Seventh St.<br>San Francisco, CA 94103<br>*Leadership Grants Program for Dance* | $550,000<br>2015 | PC | 50,000 |
| **Lookingglass Theatre Company**<br>875 North Michigan Avenue, Suite 1430<br>Suite 1430<br>Chicago, IL 60611<br>*Theatre Commissioning and Production Program* | $125,000<br>2014 | PC | 25,000 |
| **Mapp International Productions Inc**<br>140 Second Avenue, Suite 502<br>Suite 502<br>New York, NY 10003<br>*To expand the African Contemporary Arts Consortium netowrk* | $34,500<br>2014 | PC | 17,250 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Margaret Jenkins Dance Studio Inc**<br>507 Polk Street Suite 320<br>San Francisco, CA 94102<br>*Leadership Grants Program for Dance* | $250,000<br>2015 | PC | 75,000 |
| **Monterey Jazz Festival**<br>9699 Blue Larkspur Lane, Suite 204<br>Monterey, CA 93940<br>*Leadership Grants Program for Jazz* | $400,000<br>2015 | PC | 50,000 |
| **National Asian American Theatre Festival, Inc.**<br>520 Eighth Ave., Suite 308<br>New York, NY 10018-8644<br>*To support the Consortium of Asian American Theatres and Artists strategic planning retreat*<br>*planning retreat* | $40,000<br>2015 | PC | 40,000 |
| **National New Play Network**<br>641 D Street NW<br>Washington, DC 20004<br>*Core Support for National Organizations, FY16* | $26,000<br>2015 | PC | 26,000 |
| **National New Play Network**<br>641 D Street NW<br>Washington, DC 20004<br>*To support continued development of the New Play Exchange (NPX), an online tool to connect playwrights and theatres* | $56,250<br>2015 | PC | 37,810 |
| **National New Play Network**<br>641 D Street NW<br>Washington, DC 20004<br>*General support* | $26,000<br>2015 | PC | 26,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **National Performance Network Inc**<br>1024 Elysian Fields<br>New Orleans, LA 70117<br>*To support NPN's Performing Arts Regranting Programs* | $2,826,720<br>2013 | PC | 1,648,920 |
| **National Performance Network Inc**<br>1024 Elysian Fields<br>New Orleans, LA 70117<br>*Core Support for National Organizations, FY16 & FY17* | $200,000<br>2015 | PC | 100,000 |
| **Network of Ensemble Theaters**<br>PO Box 83526<br>Portland, OR 97283<br>*To support expansion of the NET/TEN Program* | $83,375<br>2014 | PC | 36,220 |
| **New England Foundation for the Arts**<br>145 Tremont Street, 7th floor<br>Boston, MA 02111<br>*To support the National Dance Project* | $5,184,758<br>2013 | PC | 1,296,187 |
| **New England Foundation for the Arts**<br>145 Tremont Street, 7th floor<br>Boston, MA 02111<br>*To support the national convening,"Art in Service to Understanding: New Perspectives from Artists and the Military Community* | $101,250<br>2015 | PC | 35,060 |
| **Newark Public Radio Inc.**<br>54 Park Place<br>Newark, NJ 07102<br>*To support Jazz Night in America, a multi-platform public media project* | $75,000<br>2015 | PC | 75,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **ODC**<br>351 Shotwell Street<br>San Francisco, CA 94110<br>*Leadership Grants Program for Dance*<br>Seattle, WA 98119<br>*Adaptive Capacity Initiative* | $500,000<br>2015 | PC | 187,425 |
| **On The Boards**<br>100 W. Roy Street<br>Seattle, WA 98119<br>*To support the growth of OntheBoards.tv, providing high-quality filmic versions of new contemporary performances* | $84,525<br>2014 | PC | 43,040 |
| **On The Boards**<br>100 W. Roy Street<br>Seattle, WA 98119<br>*Adaptive Capacity Initiative* | $300,000<br>2013 | PC | 150,250 |
| **Oregon Shakespeare Festival Association**<br>15 S. Pioneer Street<br>Ashland, OR 97520<br>*Adaptive Capacity Initiative* | $1,000,000<br>2013 | PC | 436,325 |
| **Oregon Shakespeare Festival Association**<br>15 S. Pioneer Street<br>Ashland, OR 97520<br>*Theatre Commissioning and Production Program* | $125,000<br>2014 | PC | 125,000 |
| **Pangea World Theater**<br>711 West Lake Street<br>Minneapolis, MN 55408<br>*To support the launch of the first National Institute for Directing and Ensemble Creation and a convening of Native American Theater artists* | $112,500<br>2014 | PC | 23,125 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Partners For Sacred Places Inc**<br>1700 Sansom Street<br>Philadelphia, PA 19103<br>*To create a scalable, replicable model for matching small to mid-size dance and theatre companies with space needs with historic sacred places with available space* | $112,500<br>2014 | PC | 37,125 |
| **Paul Taylor Dance Foundation Inc**<br>551 Grand Street<br>New York, NY 10002<br>*Leadership Grants Program for Dance* | $500,000<br>2015 | PC | 312,500 |
| **New York Shakespeare Festival**<br>425 Lafayette Street<br>New York, NY 10003<br>*Theatre Commissioning and Production Program* | $125,000<br>2014 | PC | 100,000 |
| **Ragamala Dance**<br>711 W Lake St, Suite 309<br>Minneapolis, MN 55408<br>*Leadership Grants Program for Dance* | $250,000<br>2015 | PC | 50,000 |
| **Stephen Petronio Dance Company Inc**<br>140 Second Avenue, Suite 504<br>New York, NY 10003-8384<br>*Leadership Grants Program for Dance* | $250,000<br>2015 | PC | 100,000 |
| **STREB Inc.**<br>51 North 1st Street<br>Brooklyn, NY 11249<br>*Leadership Grants Program for Dance* | $450,000<br>2015 | PC | 143,750 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Tessitura Network Inc**<br>11700 Preston Road, Suite 660<br>Dallas, TX 75230<br>*To support CultureLab Library development and rollout* | $30,000<br>2015 | PC | 30,000 |
| **Theatre Communications Group Inc.**<br>520 8th Avenue, 24th Floor<br>New York, NY 10018-4156<br>*To support "Leading the Charge on Diversity and Inclusion," a study of the history and progress of racial and ethnic diversity within the theatre field* | $225,000<br>2013 | PC | 40,000 |
| **Theatre Communications Group Inc.**<br>520 8th Avenue, 24th Floor<br>New York, NY 10018-4156<br>*To support Round 2 of the Audience (R)Evolution program,* | $1,451,500<br>2014 | PC | 179,897 |
| **Theatre Communications Group Inc.**<br>520 8th Avenue, 24th Floor<br>New York, NY 10018-4156<br>*Core Support for National Organizations, FY16 & FY17* | $470,000<br>2015 | PC | 235,000 |
| **Theatre Development Fund Inc**<br>520 8th Avenue, 24th Floor<br>New York, NY 10018-4156<br>*To support the Triple Play Project - finding new ways to connect playwrights and generative theater artists with audiences* | $39,375<br>2015 | PC | 33,030 |
| **Two River Theatre Company**<br>21 Bridge Avenue<br>Red Bank, NJ 07701<br>*Theatre Commissioning and Production Program* | $125,000<br>2014 | PC | 25,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **University of Minnesota Foundation**<br>210 Oak Street, SE. Suite 500<br>Minneapolis, MN 55455-2010<br>*To support the African American Theater History Project* | $168,750<br>2014 | PC | 113,338 |
| **UBW, Inc**<br>138 South Oxford Street, 4B<br>Brooklyn, NY 11217<br>*Leadership Grants Program for Dance* | $250,000<br>2015 | PC | 90,000 |
| **UBW, Inc**<br>138 South Oxford Street, 4B<br>Brooklyn, NY 11217<br>*To support the UBW Choreographic Center* | $29,869<br>2015 | PC | 26,550 |
| **Victory Garden Theater**<br>2433 N Lincoln Avenue<br>Chicago, IL 60614<br>*Theatre Commissioning and Production Program* | $125,000<br>2015 | PC | 100,000 |
| **Wesleyan University**<br>237 High Street<br>Middletown, CT 06459<br>*Adaptive Capacity Initiative* | $400,000<br>2013 | PC | 56,840 |
| **Wesleyan University**<br>237 High Street<br>Middletown, CT 06459<br>*To support the ICPP Scholarship Fund to support participation of low-income students and students of color in ICPP's Certificate and Master's program* | $100,000<br>2015 | PC | 100,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **White Bird**<br>5620 SW Edgemont Place<br>Portland, OR 97239<br>*Leadership Grants Program for Dance* | $250,000<br>2015 | PC | 100,000 |
| **Williamstown Theatre Foundation Inc**<br>229 W 42nd Street, Suite 801<br>New York, NY 10036<br>*Exploring and planning a community engagement program* | $40,000<br>2015 | PC | 40,000 |
| **Woolly Mammoth Theatre Company**<br>641 D Street NW<br>Washington, DC 20004<br>*Adaptive Capacity Initiative* | $800,000<br>2013 | PC | 244,240 |
| **TOTAL Arts** | | | **$14,987,500** |
| **ARTS INITIATIVE** | | | |
| **Actors Theatre of Louisville, Inc.**<br>316 West Main Street<br>Louisville, KY 40202<br>*Building Demand for Theatre Exploration* | $40,000<br>2015 | PC | 40,000 |
| **American Shakespeare Center**<br>20 S. New Street, 4th Floor<br>Staunton, VA 24401<br>*Building Demand for Theatre Exploration* | $40,000<br>2015 | PC | 40,000 |
| **Bric Arts Media Bklyn Inc**<br>45 Main St, Ste 530<br>Brooklyn, NY 11201<br>*To support a Residency to develop demand for contemporary dance among residents of public housing developments surrounding BRIC House Media in Brooklyn* | $155,000<br>2013 | PC | 37,500 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Childsplay, Inc.**<br>900 S. Mitchell Dr<br>Tempe, AZ 85281<br>*To support a residency to build demand for theatre among young Latino audiences and families* | $155,000<br>2013 | PC | 23,025 |
| **Christina Cultural Arts Center Inc**<br>705 N. Market Street<br>Wilmington, DE 19801-3008<br>*Building Demand for Theatre and Dance Exploration* | $20,000<br>2015 | PC | 20,000 |
| **A Contemporary Theatre**<br>Kreielsheimer Place<br>700 Union Street<br>Seattle, WA 98101<br>*Building Demand for Theatre Explroation theatre among deaf* | $40,000<br>2015 | PC | 40,000 |
| **Creative Capital Foundation**<br>15 Maiden Lane, 18th Floor<br>New York, NY 10038<br>*To support the Doris Duke Performing Artists Awards Program*<br>$1,058,873.00<br>2015 | $1,058,873<br>2015 | PC | 611,042 |
| **Doris Duke Foundation Inc.**<br>650 5th Ave fl 19<br>New York, NY 10019-6108<br>*To support the 2012 Doris Duke Artists Awards* | $5,775,000<br>2012 | PF | 989,891 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Doris Duke Foundation Inc.**<br>650 5th Ave fl 19<br>New York, NY 10019-6108<br>*To support the 2013 Doris Duke Artists Awards* | $5,500,000<br>2013 | PF | 1,178,976 |
| **Doris Duke Foundation Inc.**<br>650 5th Ave fl 19<br>New York, NY 10019-6108<br>*To support the 2014 Doris Duke Artists Awards* | $5,500,000<br>2013 | PF | 1,711,812 |
| **Doris Duke Foundation Inc.**<br>650 5th Ave fl 19<br>New York, NY 10019-6108<br>*To support the 2014 Doris Duke Impact Awards* | $1,600,000<br>2013 | PF | 598,400 |
| **Doris Duke Foundation Inc.**<br>650 5th Ave fl 19<br>New York, NY 10019-6108<br>*To support the 2015 Doris Duke Artists Awards* | $5,225,000<br>2014 | PF | 785,000 |
| **Doris Duke Foundation Inc.**<br>650 5th Ave fl 19<br>New York, NY 10019-6108<br>*To support the 2015 Doris Duke Impact Awards* | $1,600,000<br>2014 | PF | 60,000 |
| **Double Edge Theatre Productions Incorporated**<br>948 Conway Rd<br>Ashfield, MA 01330<br>*Building Demand for Theater Exploration* | $20,000 | PC | 20,000 |
| **Epic Theatre Center Inc**<br>55 West 39th Street, Suite 302<br>New York, NY 10018<br>*To support workshops in story-sharing and playwrighting for NYC's Arab-American community* | $155,000<br>2013 | PC | 40,488 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **FringeArts**<br>140 N Columbus Blvd<br>Philadelphia, PA 19106<br>*Building Demand for Theater Exploration* | $40,000<br>2015 | PC | 40,000 |
| **Imagination Stage Inc**<br>4908 Auburn Avenue<br>Bethesda, MD 20814<br>*Building Demand for Theater Exploration* | $20,000<br>2015 | PC | 20,000 |
| **Kansas City Repertory Theatre Inc**<br>4825 Troost Avenue, Suite 106<br>Kansas City, MO 64110-2030<br>*Building Demand for Theater Exploration* | $20,000<br>2015 | PC | 20,000 |
| **Lookingglass Theatre Company**<br>875 North Michigan Avenue, Suite 1430<br>Chicago, IL 60611<br>*Support to establish a Civic Practice Lab* | $155,000<br>2013 | PC | 42,565 |
| **Matrix Theatre Company Inc**<br>2730 Bagley Street<br>Detroit, MI 48216<br>*Building Demand for the Arts Exploration* | $40,000<br>2015 | PC | 40,000 |
| **New York Theatre Workshop, Inc.**<br>79 E Fourth St<br>New York, NY 10003<br>*Building Demand for Theater Exploration* | $40,000<br>2015 | PC | 40,000 |
| **Pasadena Playhouse State Theatre of California, Inc.**<br>600 Playhouse Alley, Suite 300<br>Pasadena, CA 91101<br>*Building Demand for Theater Exploration* | $40,000<br>2015 | PC | 40,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Pig Iron Theatre Company Inc**<br>1417 N. 2nd Street<br>Philadelphia, PA 19122<br>*Building Demand for Theater and interdisciplinary Music Exploration* | $40,000<br>2015 | PC | 40,000 |
| **Portland Institute for Contemporary Art**<br>415 SW 10th Ave, Suite 300<br>Portland, OR 97205<br>*Building Demand for Theater Exploration* | $40,000<br>2015 | PC | 40,000 |
| **Portland Playhouse**<br>602 NE Prescott St<br>Portland, OR 97211<br>*Building Demand for Theater Exploration* | $20,000<br>2015 | PC | 20,000 |
| **Ragamala Dance**<br>711 W Lake St, Suite 309<br>Minneapolis, MN 55408<br>*Building Demand for Dance Exploration* | $20,000<br>2015 | PC | 20,000 |
| **Studio Theatre Inc**<br>1501 14th Street NW<br>Washington, DC 20005<br>*Building Demand for Theater Exploration* | $40,000<br>2015 | PC | 40,000 |
| **Trinity Repertory Company**<br>201 Washington St<br>Providence, RI 02903<br>*Building Demand for Theater Exploration* | $40,000<br>2015 | PC | 40,000 |
| **United States Artists Inc**<br>980 N. Michigan Ave, Suite 1300<br>Chicago, IL 60611<br>*To Support the USA Fellowships* | $3,600,000<br>2015 | PC | 720,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount / Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **United States Artists Inc**<br>980 N Michigan Ave, Suite 1300<br>Chicago, IL 60611<br>*Operations Endowment* | $1,000,000<br>2015 | PC | 1,000,000 |
| **Board of Trustees of University of Illinois**<br>1501 S Oak St<br>Champaign, IL 61820<br>*To support the Krannert Center and SITI Company in efforts to engage community groups in activities that shift the paradigm of contemporary expectations about what art means through an expanded sense of community* | $155,000<br>2013 | PC | 13,175 |
| **University of Minnesota Foundation**<br>210 Oak Street, SE. Suite 500<br>Minneapolis, MN 55455-2010<br>*To support Northrup's work to create greater demand for contemporary dance in Native Communities* | $155,000<br>2013 | PC | 33,450 |
| **University of Washington Foundation**<br>4333 Brooklyn Ave. NE<br>Box 359504<br>Seattle, WA 98195-9504<br>*Building Demand for Dance Exploration* | $40,000<br>2015 | PC | 40,000 |
| **Wooster Group, Inc.**<br>33 Wooster Street<br>New York, NY 10013<br>*To support an Interactive Web Series* | $155,000<br>2013 | PC | 37,500 |
| **TOTAL Arts Initiative** | | | **$8,482,824** |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **CHILD WELL-BEING** | | | |
| **Alaska Childrens Trust**<br>3201 C Street, Ste 110<br>Anchorage, AK 99503<br>*To support the Alaska Resilience Initiative Statewide Summit* | $25,000<br>2015 | PC | 25,000 |
| **American Academy of Pediatrics**<br>141 Northwest Point Blvd<br>Elk Grove Village, IL 60007<br>*To support the Community Pediatrics Training Initiative* | $300,000<br>2014 | PC | 149,452 |
| **Boston Community Capital Inc**<br>600 Atlantic Avenue<br>Boston, MA 02110<br>*To support expansion of the Working Cities Challenge mdel to small and mid-sized cities in new England and other Federal Reserve district* | $1,500,000<br>2015 | PC | 158,340 |
| **Boston Medical Center Corporation**<br>One Boston Medical Center Place<br>Boston, MA 02118<br>*To support the implementation of the Vital Village Community Engagement Network* | $1,300,000<br>2013 | PC | 458,454 |
| **Case Western Reserve University**<br>10900 Euclid Avenue<br>Cleveland, OH 44106<br>*Completion of an edited volume of papers on Child Abuse and Neglect in Uganda* | $ 7,440<br>2015 | PC | 7,440 |
| **Chapin Hall Center For Children**<br>1313 E. 60th Street<br>Chicago, IL 60637<br>*To support the Doris Duke Fellowships for the Promotion of Child Well-being* | $2,071,000<br>2012 | PC | 670,773 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Chapin Hall Center For Children**<br>1313 E. 60th Street<br>Chicago, IL 60637<br>*To support the Doris Duke Fellowships for the Promotion of Child Well-being* | $3,410,325<br>2014 | PC | 860,000 |
| **Child Trends, Incorporated**<br>7315 Wisconsin Avenue, Suite 1200W<br>Bethesda, MD 20814<br>*To support the formulation of a conceptual fraomwork for child-well being among children in the child welfare system* | $70,000<br>2015 | PC | 70,000 |
| **Child Trends, Incorporated**<br>7315 Wisconsin Avenue, Suite 1200W<br>Bethesda, MD 20814<br>*To support the project, "Promoting Child Well-being through Improved Communication of Research to State and Local Policymakers, Administrators, and Advocacy Organizations* | $400,000<br>2015 | PC | 125,000 |
| **Children and Family Futures Inc**<br>25371 Commercentre Drive, Suite 140<br>Lake Forest, CA 92630<br>*To support integration of parent training and additional family services in family drug courts* | $2,500,000<br>2013 | PC | 930,300 |
| **Children's Bureau of Southern California**<br>1910 Magnolia Ave.<br>Los Angeles, CA 90007<br>*To support expansion of the Magnolia Community Initiative Community Initiative approach to a* | $600,000<br>2013 | PC | 200,000 |
| **Childrens Outing Assn**<br>909 E North Ave<br>Milwaukee, WI 53212<br>*To support strengthening families to reduce child abuse and neglect* | $600,000<br>2013 | PC | 150,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Community Solutions International Inc**<br>125 Maiden Lane, Ste 16C<br>New York, NY 10038<br>*To support a "backbone" infrastructure for coordinated service delivery for improvemetns in lives of children and families* | $1,000,000<br>2013 | PC | 333,327 |
| **President and Fellows of Harvard College**<br>50 Church Street, 4th Floor<br>Cambridge, MA 02138<br>*To enhance communications capacity, products, and platforms for science-based knowledge dissemination* | $950,000<br>2014 | PC | 325,000 |
| **National Governors Association Center for Best Practics**<br>444 North Capitol Street, Suite 267<br>Washington DC, DC 20001-1512<br>*To explore states roles in supporting place-based initiatives to promote economic prosperity and child and family well-being* | $49,700<br>2015 | PC | 49,700 |
| **National Governors Association Center for Best Practics**<br>444 North Capitol Street, Suite 267<br>Washington DC, DC 20001-1512<br>*To support the Two-Generation State Policy Learning and Action Network* | $600,000<br>2015 | PC | 242,600 |
| **National Indian Child Welfare Association, Inc.**<br>5100 SW Macadam Avenue, Suite 300<br>Portland, OR 97239<br>*To support phase one of a project to establish and evidence base for the effectiveness of a positive Indian parenting curriculum* | $28,100<br>2015 | PC | 28,100 |
| **National Prevention Science Coalition To Improve Lives, Inc.**<br>c/o Neil Wollman<br>807 East Street<br>North Manchester, IN 46962<br>*Capacity Building support* | $100,000<br>2015 | PC | 100,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **The Nemours Foundation**<br>10140 Centurion Parkway North<br>Jacksonville, FL 32256<br>*To support the Building Community Resilience collaborative to address the root causes of toxic stress and build community resilience* | $800,000<br>2015 | PC | 333,330 |
| **Teachers College Columbia University**<br>525 West 120th Street<br>New York, NY 10027<br>*Support for Child and Family Well-Being: A Randomized Experiment of Subsized Housing in New York City* | $1,000,000<br>2012 | PC | 315,000 |
| **Thunder Valley Community Development Corporation**<br>290 Empowerment Dr<br>Porcupine, SD 57772<br>*To support Ecosystem of Opportunity· Creating a Model for Pathways to Resilience· enhancing and evaluting the model\ for replication in other communities* | $1,700,000<br>2015 | PC | 245,800 |
| **Regents University of California Los Angeles**<br>Office of Contract and Grant Administration<br>11000 Kinross Avenue, Suite 211<br>Los Angeles, CA 90095-1406<br>*To support and strengthen the Population Change Community and establish a rigorous measurement system to be implemented in place-based projects working to improve child well-being* | $350,000<br>2014 | PC | 129,726 |
| **Urban Institute**<br>2100 M Street NW<br>Washington, DC 20037<br>*To support expanding the Exploring Food Security Study to include the Magnolia community of Los Angeles* | $25,000<br>2015 | PC | 25,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Zero To Three - National Center For Infants, Toddlers, & Families**<br>1255 23rd Street, NW, Suite 350<br>*To support the delivery of positive parenting strategies to media partners and the viewing audience* | $1,175,000<br>2014 | PC | 500,000 |
| **TOTAL Child Well-being** | | | **$6,432,342** |
| **ENVIRONMENT** | | | |
| **Central Park Conservancy Inc**<br>14 East 60th Street<br>New York, NY 10022<br>*To support the Central Park Conservancy Service Learning Programs, to inspire urban youth to pursue careers in conservation* | $100,000<br>2015 | PC | 100,000 |
| **Consultative Group on Biological Diversity**<br>1016 Torney Avenue<br>San Francisco, CA 94129<br>*To support the Climate Energy Funders Group*<br>*Climate Energy Funders Group* | $40,000<br>2015 | PC | 40,000 |
| **Defenders of Wildlife**<br>1130 17th St NW<br>Washington, DC 20036<br>*To develop and inform a national policy expediting the sensitive siting of renewable energy resources* | $4,066,750<br>2013 | PC | 1,040,280 |
| **Defenders of Wildlife**<br>1130 17th St NW<br>Washington, DC 20036<br>*To support the Endangered Species Act Emergency Defense Fund* | $100,000<br>2015 | PC | 100,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Fund for Public Health in New York**<br>22 Cortlandt Street, Suite 1103<br>New York, NY 10007<br>*To support "Improving the Nutritional Health of Young Children and Families in East Harlem," a joint project of FPHNY, the Council on the Environment, Inc. (aka GrowNYC), the NYC Dept of Health & Mental Hygience and the New York Department of Education* | $1,536,000<br>2015 | PC | 736,000 |
| **Growing Power Inc**<br>5500 W. Silver Spring Drive<br>Milwaukee, WI 53218<br>*To support Growing Power at Duke Farms - A Regional Training Center for Community Food Systems* | $100,000<br>2015 | PC | 100,000 |
| **National Wildlife Federation**<br>11100 Wildlife Center Drive<br>Reston, VA 20190<br>*To support the Bioenergy, Wildlife and Biodiversity Project* | $1,162,000<br>2014 | PC | 450,000 |
| **Natural Resources Defense Council Inc**<br>40 W 20th St.<br>New York, NY 10011<br>*To support the City Energy Project* | $3,500,000<br>2015 | PC | 1,660,000 |
| **Nature Conservancy**<br>4245 North Fairfax Drive, Suite 100<br>Arlington, VA 22203-1606<br>*To support the first phase of the Natural Climate Solutions Initiative. Transforming Land Use to Curb Climate Change* | $3,970,000<br>2015 | PC | 2,394,142 |
| **New York City Energy Efficiency Corporation**<br>1359 Broadway, 19th Floor<br>New York, NY 10018<br>*General Operating Support* | $540,000<br>2012 | PC | 190,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **New York City Energy Efficiency Corporation**<br>1359 Broadway, 19th Floor<br>New York, NY 10018<br>*To support efforts to advance energy efficient retrofits of buildings in New York* | $300,000<br>2015 | PC | 200,000 |
| **New York City Street Tree Consortium Inc**<br>51 Chambers Street #1412A<br>New York, NY 10007<br>*To support the Young Urban Forester Summer Internship Program* | $50,000<br>2015 | PC | 50,000 |
| **North Star Fund Inc**<br>520 8th Ave, Suite 1800<br>New York, NY 10018<br>*To support the Community Food Funders Group Group* | $20,000<br>2015 | PC | 20,000 |
| **Northern Arizona University Fdn Inc**<br>624 S. Knoles, Old Main - Building #10<br>Flagstaff, AZ 86011<br>*To support the Doris Duke Conservation Scholars Program* | $1,500,000<br>2013 | PC | 647,280 |
| **Regional Plan Association Inc**<br>4 Irving Place, 7th Floor<br>New York, NY 10003<br>*To support Habitat Revitalization: Bold Actions for Adaptation in an era of Climate Change* | $100,000<br>2015 | PC | 100,000 |
| **Scenic Hudson, Inc**<br>One Civic Center Plaza, Suite 200<br>Poughkeepsie, NY 12601-3157<br>*To support a strategic plan for advancing farmland and wildlife habitat protection in the Hudson River Valley* | $100,000<br>2015 | PC | 100,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Regents Of The University Of California (Santa Cruz)**<br>1156 High Street<br>Santa Cruz, CA 95060<br>*To support the Doris Duke Conservation Scholars Program* | $2,000,000<br>2015 | PC | 937,500 |
| **University Of Florida Foundation Inc**<br>1938 W. University Avenue<br>Gainesville, FL 32604<br>*To support the Doris Duke Conservation Scholars Program Program* | $1,500,000<br>2013 | PC | 520,900 |
| **University Of Florida Foundation Inc**<br>1938 W University Avenue<br>Gainesville, FL 32604<br>*To support the Doris Duke Conservation Scholars Program Research Charrette* | $15,000<br>2015 | PC | 15,000 |
| **University Of Florida Foundation Inc**<br>1938 W. University Avenue<br>Gainesville, FL 32604<br>*To support the Doris Duke Conservation Scholars Program* | $1,855,000<br>2015 | PC | 884,300 |
| **Regents of the University of Michigan**<br>Office of Research and Sponsored Projects<br>3003 S. State Street<br>Ann Arbor, MI 48109-1115<br>*To support the Doris Duke Conservation Scholars Program* | $2,000,000<br>2015 | PC | 937,500 |
| **University of Washington Foundation**<br>4333 Brooklyn Ave. NE, Box 359504<br>Seattle, WA 98195-9504<br>*To support the Doris Duke Conservation Scholars Program Program* | $1,500,000<br>2013 | PC | 359,850 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **University of Washington Foundation**<br>4333 Brooklyn Ave. NE, Box 359504<br>Seattle, WA 98195-9504<br>*To support the Doris Duke Conservation Scholars Program*<br>*Scholars Program* | $1,991,000<br>2015 | PC | 1,028,000 |
| **US Green Building Council New York Chapter**<br>20 Broad Street, Suite 709<br>New York, NY 10005<br>*To support efforts to advance energy efficient retrofits*<br>*in buildings in New York City* | $700,000 | PC | 400,000 |
| **Wildlife Conservation Society**<br>2300 Southern Boulevard<br>Bronx, NY 10460<br>*To support renewal of the Climate Adaptation Fund*<br>*Adaptation Fund Program* | $5,050,000<br>2014 | PC | 3,550,000 |
| **TOTAL Environment** | | | **$16,560,752** |
| **MEDICAL RESEARCH** | | | |
| **American Physician Scientists Association, Inc.**<br>111 Deer Lake Rd - Ste 100<br>Deerfield, IL 60015<br>*Support for the Annual Meeting* | $ 5,000<br>2015 | PC | 5,000 |
| **American Society for Clinical Investigation, Inc.**<br>15 Research Drive<br>Ann Arbor, MI 48103<br>*To support the 2015 ASCI/AAP Joint Meeting* | $20,000<br>2015 | PC | 20,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **American Society Of Hematology Inc**<br>2021 L St NW #900<br>Washington, DC 20036<br>*To support the ASH Sickle Cell Disease Summit* | $ 5,000<br>2015 | PC | 5,000 |
| **Baylor College of Medicine**<br>One Baylor Plaza<br>Houston, TX 77030<br>*Nitric oxide supplementation as a therapeutic intervention in argininosuccinic aciduria* | $486,000<br>2013 | PC | 81,000 |
| **Baylor College of Medicine**<br>One Baylor Plaza<br>Houston, TX 77030<br>*An integrated genomics approach to identifying causal differences between edematous and non-edematouse service childhood malnutrition* | $486,000<br>2013 | PC | 81,000 |
| **Beth Israel Deaconess Medical Center**<br>Boston, MA 02215<br>*Molecular identification of Psickle in reticulocytes generated from HUDEP-2 cells gene edited to express Hemoglobin S* | $54,000<br>2015 | PC | 54,000 |
| **Boston University Medical Center**<br>One Medical Center Place<br>Boston, MA 02118<br>*Atrial Fibrillation health Literacy Information Technology Trial* | $486,000<br>2015 | PC | 243,000 |
| **Brigham and Women's Hospital Inc**<br>75 Francis Street<br>Boston, MA 02115<br>*Fine-Mapping Causal Genetic Alleles in Rheumatoid Arthritis* | $486,000<br>2013 | PC | 81,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Brigham and Women's Hospital Inc**<br>75 Francis Street<br>Boston, MA 02115<br>*Examination of human samples with somatic mutations in hematopoietic stem cells to inform the biology of fetal hemoglobin induction* | $486,000<br>2013 | PC | 162,000 |
| **Brigham and Women's Hospital Inc**<br>75 Francis Street<br>Boston, MA 02115<br>*Adrenal and Parathyroid Hormone Interactions in Human Health* | $486,000<br>2015 | PC | 243,000 |
| **Broad Institute Inc**<br>7 Cambridge Ctr<br>Cambridge, MA 02142-1401<br>*Translating genetic discoveries to improve sickle cell disease prognosis and treatment* | $486,000<br>2012 | PC | 81,000 |
| **Brown University Of Providence**<br>Providence, RI 02912<br>*Breaking Beta: Decoding and Manipulating Critical Neural State Transitions in Parkinson's Disease* | $486,000<br>2014 | PC | 162,000 |
| **Cancer Research Institute Inc**<br>One Exchange Plaza, 55 Broadway, Suite 1802<br>New York, NY 10006<br>*To support the inaugural International Cancer Immunotherapy Conference* | $25,000<br>2015 | PC | 25,000 |
| **Case Western Reserve University**<br>10900 Euclid Avenue<br>Cleveland, OH 44106<br>*Pharmacologic NK harness to seek and destroy the HIV reservoir* | $486,000<br>2014 | PC | 162,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Case Western Reserve University**<br>10900 Euclid Avenue<br>Cleveland, OH 44106<br>*To support GRNDaD: Globin Regional Network for Database and Discovery* | $100,000<br>2015 | PC | 100,000 |
| **Children's Hospital & Research Center at Oakland**<br>747 52nd St<br>Oakland, CA 94609<br>*To support the Clinical Research Experiences for High School Students 2015 Directors Meeting* | $27,800<br>2015 | PC | 27,800 |
| **Childrens Hospital Corporation**<br>300 Longwood Avenue<br>Boston, MA 02115<br>*The Kisspeptin-Stimulation Test as a Novel Diagnostic Tool for Evaluation of Delayed Puberty. Addressing an Unmet Medical Need in Adolescents* | $486,000<br>2013 | PC | 81,000 |
| **Childrens Hospital Corporation**<br>300 Longwood Avenue<br>Boston, MA 02115<br>*Genome editing of the GWAS-marked BCL11A enhancer. an approach to HbF reactivation in sickle cell disease* | $486,000<br>2013 | PC | 162,000 |
| **Childrens Hospital Corporation**<br>300 Longwood Avenue<br>Boston, MA 02115<br>*High-resolution and high-throughput genome editing to determine minimal repressive sequences within the beta-globin gene cluster and establish lead compounds for therapeutic re-induction of fetal hemoglobin in SCD* | $486,000<br>2015 | PC | 243,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Children's Hospital of Philadelphia**<br>34th and Civic Center Blvd.<br>Philadelphia, PA 19104<br>*Expanding genomic approaches to transfusion therapy for patients with sickle cell disease* | $486,000<br>2015 | PC | 243,000 |
| **Childrens Research Institute**<br>111 Michigan Ave NW<br>Washington, DC 20010<br>*Feasibility and efficacy of a home-based, computerized cognitive training program in pediatric sickle cell disease* | $486,000<br>2013 | PC | 162,000 |
| **Children's Hospital Medical Center**<br>3333 Burnett Avenue<br>Cincinnati, OH 45229<br>*CD38 bright CD8+ effector memory T-cells herald acute graft versus host disease* | $486,000<br>2015 | PC | 243,000 |
| **Children's Hospital Medical Center**<br>3333 Burnett Avenue<br>Cincinnati, OH 45229<br>*Genetic variants influencing the phenotypic expression of sickle cell anemia* | $486,000<br>2015 | PC | 243,000 |
| **Children's Hospital Medical Center**<br>3333 Burnett Avenue<br>Cincinnati, OH 45229<br>*Prospective analysis of the pharmacokinetics and pharmacodynamics of hydroxyurea treatment in Ugandan children with sickle cell anemia* | $56,000<br>2015 | PC | 56,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **The Cleveland Clinic Foundation**<br>Cleveland, OH 44194<br>*Clinical Research Mentorship: The Microbiome in Breast Carcinogenesis* | $64,800<br>2015 | PC | 64,800 |
| **Trustees Of Columbia University In The City of New York**<br>60 Haven Avenue, B2<br>New York, NY 10032<br>*Advanced phenotypic and genotypic methods to predict TB treatment response and measure emergent TB drug-resistance* | $486,000<br>2015 | PC | 243,000 |
| **Dana-Farber Cancer Institute**<br>44 Binney St<br>Boston, MA 02115<br>*Targeted derepression of fetal hemoglobin in sickle cell disease* | $486,000<br>2012 | PC | 81,000 |
| **Duke University**<br>Durham, NC 27710<br>*Clinical Research Mentorship· Identifying maternal immune correlates of protection against perinatal mother-to-child transmission (MTCT) in a cohort of clade C HIV infected women who received ARV prophylaxis at the time of delivery prophylaxis at the time of delivery* | $64,800<br>2015 | PC | 64,800 |
| **Duke University**<br>Durham, NC 27710<br>*High-throughput Metabolite Profiling and Genetic Analyses to identify novel perdictive biomarkers of SCD-related complications* | $486,000<br>2015 | PC | 243,000 |
| **Duke University**<br>Durham, NC 27710<br>*To support the Fund to Retain Clinical Scientists* | $583,200<br>2015 | PC | 270,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Foundation for the National Institutes of Health, Inc.**<br>9650 Rockville Pike<br>Bethesda, MD 20814<br>*To support the National Institutes of Health Medical Research Scholars Program, 2015-16 and 2016-17* | $1,040,000<br>2014 | PC | 149,663 |
| **President and Fellows of Harvard College**<br>50 Church Street, 4th Floor<br>Cambridge, MA 02138<br>*To support the Annual Workshop of Advanced Clinical Care at the South Africa Medical Research Conference* | $20,557<br>2015 | PC | 23,900 |
| **Health Research Alliance Inc.**<br>21 T W. Alexander Drive<br>Durham, NC 27709-3901<br>*General Support* | $10,000<br>2015 | PC | 10,000 |
| **Health Research Alliance Inc.**<br>21 T. W. Alexander Drive<br>Durham, NC 27709-3901<br>*Implementing significant functional enhancements to the gHRAsp database* | $15,000<br>2015 | PC | 15,000 |
| **Icahn School of Medicine at Mount Sinai**<br>One Gustave L Levy Place<br>New York, NY 10029<br>*Ketamine Plus Lithium as a Novel Pharmocotherapeutic Strategy in Treatment-Resistant Depression* | $486,000<br>2013 | PC | 81,000 |
| **Icahn School of Medicine at Mount Sinai**<br>One Gustave L Levy Place<br>New York, NY 10029<br>*Clinical Research Mentorship· Serum Biomarkers to Predict Development of Steriod Resistant GVHD* | $64,800<br>2015 | PC | 64,800 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Indiana University**<br>509 E. 3rd St.<br>Indianapolis, IN 46634<br>*Novel use Of Hydroxyurea in an African Region with Malaria* | $486,000<br>2013 | PC | 243,000 |
| **Indiana University**<br>509 E. 3rd St<br>Indianapolis, IN 46634<br>*Clinical Research Mentorship: Iron deficiency in sickle cell anemia* | $64,800<br>2015 | PC | 64,800 |
| **Johns Hopkins University**<br>Broadway Research Building, Suite 117<br>733 North Broadway<br>Baltimore, MD 21205<br>*Blood Based Biomarkers for Hereditary Cancer Syndromes Using Neurofibromatosis 1 as a Model* | $486,000<br>2014 | PC | 162,000 |
| **Johns Hopkins University**<br>Broadway Research Building, Suite 117<br>733 North Broadway<br>Baltimore, MD 21205<br>*Clinical Research Mentorship. Practices Associated with the Ability to Rescue following Delayed Graft Function in Kidney Transplant Recipients* | $64,800<br>2015 | PC | 64,800 |
| **Johns Hopkins University**<br>Broadway Research Building, Suite 117<br>733 North Broadway<br>Baltimore, MD 21205<br>*Clinical Research Mentorship· Live donor kidney transplants capturing all sources costs and utilization* | $64,800<br>2015 | PC | 64,800 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Johns Hopkins University**<br>Broadway Research Building, Suite 117<br>733 North Broadway<br>Baltimore, MD 21205<br>*Support for the Fund to Retain Clinical Scientists* | $583,200<br>2015 | PC | 270,000 |
| **Lincoln Center for the Performing Arts, Inc.**<br>70 Lincoln Center Plaza, 9th Floor<br>New York, NY 10023<br>*To support the Arts and Sciences session of the Lincoln Center Global Exchange 2015* | $25,000<br>2015 | PC | 25,000 |
| **Loyola University of Chicago**<br>2160 S First Ave<br>Maywood, IL 60153<br>*Risk Stratification for Clinical Severity of Sickle Cell Disease in Nigeria and Assessment of Efficacy and Safety druing Treatment with Hydroxyurea* | $486,000<br>2013 | PC | 162,000 |
| **Loyola University of Chicago**<br>2160 S First Ave<br>Maywood, IL 60153<br>*To support the Africa Sickle Cell Research Network (AfrosickleNet) working conference: Team Science t Advance Sickle Cell Research in Africa* | $50,000<br>2015 | PC | 50,000 |
| **General Hospital Corporation, dba Massachusetts General Hospital**<br>55 Fruit Street<br>Boston, MA 02114<br>*Improving Stroke Care by Predicting Atrial Fibrillation* | $486,000<br>2014 | PC | 162,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **General Hospital Corporation, dba Massachusetts General Hospital**<br>55 Fruit Street<br>Boston, MA 02114<br>*Clinical Research Mentorship: Impact of HIV-Associated Changes in the Gut Microbiome on Disease Progressive* | $64,800<br>2015 | PC | 64,800 |
| **General Hospital Corporation, dba Massachusetts General Hospital**<br>55 Fruit Street<br>Boston, MA 02114<br>*Neurobiological basis of clozapine response in schizophrenia patients* | $486,000<br>2015 | PC | 243,000 |
| **Medical University Hospital Authority**<br>169 Ashley Avenue Suite 203<br>Charleston, SC 29425-8905<br>*Program to Enhance the Retention of Clinicians at the the Medical University of South Carolina* | $583,200<br>2015 | PC | 270,000 |
| **Memorial Sloan Kettering Cancer Center**<br>1275 York Avenue<br>New York, NY 10021<br>*Preclinical evaluation of globin gene transfer in mobilized SCD patient CD34+ cells* | $486,000<br>2011 | PC | 81,000 |
| **Memorial Sloan Kettering Cancer Center**<br>1275 York Avenue<br>New York, NY 10021<br>*Targeting Disease-Initiating Cells in Acute Myeloid Leukemia and the Myelodysplastic Syndromes for Clinical Benefit* | $486,000<br>2012 | PC | 81,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **National Academy of Sciences**<br>500 Fifth Street, NW<br>Washington, DC 20001<br>*To support the Institute of Medicine's 2015 Forum on Drug Discovery, Development and Translation* | $10,000<br>2015 | PC | 10,000 |
| **New York University**<br>550 First Avenue<br>New York, NY 10016<br>*Hypermethylation as a microbiome-mediated epigenetic phenomenon in CIMP(+) colorectal cancers* | $486,000<br>2014 | PC | 162,000 |
| **New York University**<br>550 First Avenue<br>New York, NY 10016<br>*Fund to Retain Clinical Scientists at NYU Langone Med Center* | $540,000<br>2015 | PC | 270,000 |
| **Rector & Visitors Of The University Of Virginia**<br>Room 1709A Carter-Harrison Medical Research Building, 345 Crispell Drive,<br>Charlottesville, VA 22901<br>*Early Predictors and Biomarkers of Cognition and Growth and Growth in Impoverished Children* | $486,000<br>2014 | PC | 162,000 |
| **Research America**<br>1101 King St, Suite 520<br>Alexandria, VA 22314<br>*Membership* | $ 5,000<br>2015 | PC | 5,000 |
| **Research America**<br>1101 King St, Suite 520<br>Alexandria, VA 22314<br>*To support a Sickle Cell Disease Fact Sheet* | $ 7,800<br>2015 | PC | 7,800 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Research America**<br>1101 King St, Suite 520<br>Alexandria, VA 22314<br>*To support the 11th edition of the Investment Report - a study of the economic impact on the investment of biomedical research in the United States* | $50,000<br>2015 | PC | 50,000 |
| **Rockefeller University**<br>1230 York Avenue<br>New York, NY 10021<br>*Understanding the mechanisms behind the disparate actions of endogenous vitamin D vs vitamin D supplements on the lipid metabolism. a rational step towards optimizing treatment of vitamin D deficiency* | $486,000<br>2015 | PC | 243,000 |
| **The Board Of Trustees Of The Leland Stanford Junior University**<br>Stanford, CA 94305-6045<br>*Systems immunology to understand antiviral deficits during pregnancy* | $486,000<br>2013 | PC | 81,000 |
| **The Board Of Trustees Of The Leland Stanford Junior University**<br>Stanford, CA 94305-6045<br>*Development of AAK1 and GAK Inhibitors for Combating Drug-Resistant HIV* | $486,000<br>2013 | PC | 81,000 |
| **The Board Of Trustees Of The Leland Stanford Junior University**<br>Stanford, CA 94305-6045<br>*Rigorous Evaluations of Global Health Programs and Policies* | $486,000<br>2014 | PC | 162,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **The Board Of Trustees Of The Leland Stanford Junior University**<br>Stanford, CA 94305-6045<br>*Clinical Research Mentorship· Modeling challenges and interventions for elimination of schistosomiasis and soil-transmitted helminths* | $64,800<br>2015 | PC | 64,800 |
| **The Board Of Trustees Of The Leland Stanford Junior University**<br>Stanford, CA 94305-6045<br>*The role of iron and inflammation in Alzheimer's disease: from ex vivo to in vivo* | $486,000<br>2015 | PC | 243,000 |
| **Universities Allied For Essential Medicines Corp**<br>1611 Telegraph Ave, #550<br>Oakland, CA 94612<br>*To support the UAEM Annual North American Conference* | $10,000<br>2015 | PC | 10,000 |
| **University Of Arizona Foundation**<br>1111 N Cherry Ave<br>Tucson, AZ 85721-0111<br>*New insights into molecular mechanisms driving pediatric movement disorders* | $486,000<br>2014 | PC | 333,141 |
| **Regents of The University of California at San Diego**<br>9500 Gilman Drive<br>La Jolla, CA 92103-8756<br>*Human viral communities as vehicles for the spread of antibiotic resistance in the community* | $486,000<br>2015 | PC | 243,000 |
| **Regents of The University of California at San Diego**<br>9500 Gilman Drive<br>La Jolla, CA 92103-8756<br>*Mapping the environmental landscape of human cardiovascular disease* | $486,000<br>2015 | PC | 243,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **University Of California San Francisco**<br>505 Parnassus Ave M696<br>San Francisco, CA 94118<br>*Electrocorticography based control of an anthropomorphic upper limb exoskeleton* | $486,000<br>2013 | PC | 81,000 |
| **University Of California San Francisco**<br>505 Parnassus Ave M696<br>San Francisco, CA 94118<br>*Personalizing Treatment for Patients with Pancreatic Cancer* | $486,000<br>2013 | PC | 81,000 |
| **University Of California San Francisco**<br>505 Parnassus Ave M696<br>San Francisco, CA 94118<br>*Dissecting Human Osteoprogenitor Function using iPS Cells* | $486,000<br>2014 | PC | 162,000 |
| **University Of California San Francisco**<br>505 Parnassus Ave M696<br>San Francisco, CA 94118<br>*Clinical Research Mentorship. Estimating the impact of indoor residual spraying of insecticide using a novel health facility-based malaria surveillance program in Uganda* | $64,800<br>2015 | PC | 64,800 |
| **University Of California San Francisco**<br>505 Parnassus Ave M696<br>San Francisco, CA 94118<br>*Improving cardiovascular risk stratification in kidney transplant recipients* | $486,000<br>2015 | PC | 243,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **University Of California San Francisco**<br>505 Parnassus Ave M696<br>San Francisco, CA 94118<br>*Enhanced therapeutic monitoring of multidrug resistant tuberculosis* | $486,000<br>2015 | PC | 243,000 |
| **University Of California San Francisco**<br>505 Parnassus Ave M696<br>San Francisco, CA 94118<br>*Fund to Retain Clinical Scientists at University of California, San Francisco* | $583,200<br>2015 | PC | 270,000 |
| **Regents of the University of Colorado**<br>4200 East Ninth Avenue<br>Denver, CO 80262<br>*Targeting DOT1L in MN1-high Acute Myeloid Leukemia* | $486,000<br>2014 | PC | 162,000 |
| **Regents of the University of Colorado**<br>4200 East Ninth Avenue<br>Denver, CO 80262<br>*Support for the Fund to Retain Clinical Scientists* | $583,200<br>2015 | PC | 270,000 |
| **State University Of Iowa Foundation**<br>1 West Park Road, PO Box 4550<br>Iowa City, IA 52244-4550<br>*Molecular Genetic Mechanisms of Calpain-5 Autoimmunity* | $486,000<br>2013 | PC | 81,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Regents of the University of Michigan**<br>Office of Research and Sponsored Projects<br>First Floor, Wolverine Tower, 3003 S. State Street<br>Ann Arbor, MI 48109-1115<br>*The genetics of fibromuscular dysplasia and associated aneurysmal disease* | $486,000<br>2013 | PC | 81,000 |
| **Regents of the University of Michigan**<br>Office of Research and Sponsored Projects<br>First Floor, Wolverine Tower, 3003 S. State Street<br>Ann Arbor, MI 48109-1115<br>*Viral mutant networks and effective influenza control* | $486,000<br>2013 | PC | 81,000 |
| **Regents of the University of Michigan**<br>Office of Research and Sponsored Projects<br>First Floor, Wolverine Tower, 3003 S. State Street<br>Ann Arbor, MI 48109-1115<br>*Influence of risk alleles on the composition of the inflammatory network in psoriasis and prioritization for unctional studies* | $486,000<br>2013 | PC | 81,000 |
| **Regents of the University of Michigan**<br>Office of Research and Sponsored Projects<br>First Floor, Wolverine Tower, 3003 S. State Street<br>Ann Arbor, MI 48109-1115<br>*Cancer-specific RNA Editing as a Novel Mechanism for Chemoresistance in Pancreatic Cancer* | $486,000<br>2015 | PC | 243,000 |
| **Regents of the University of Michigan**<br>Office of Research and Sponsored Projects<br>First Floor, Wolverine Tower, 3003 S. State Street<br>Ann Arbor, MI 48109-1115<br>*Big Data in the Brain· Implementing and Characterizing a Novel Biomarker of Epilepsy* | $402,000<br>2015 | PC | 243,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Regents of the University of Michigan**<br>Office of Research and Sponsored Projects<br>First Floor, Wolverine Tower, 3003 S. State Street<br>3003 S. State Street<br>Ann Arbor, MI 48109-1115<br>*To support the evaluation of the Fund to Retain Clinical Scientist Initiative* | $380,000<br>2015 | PC | 255,470 |
| **University of North Carolina at Chapel Hill**<br>134 East Franklin Street, Campus Box 3233<br>Chapel Hill, NC 27599<br>*The effects of hypoxia on red blood cell-dependent thrombin generation in sickle cell disease* | $486,000<br>2013 | PC | 162,000 |
| **University of North Carolina at Chapel Hill**<br>134 East Franklin Street, Campus Box 3233<br>Chapel Hill, NC 27599<br>*Targeting Neutrophil Extracellular Traps in Sickle Cell Disease* | $486,000<br>2013 | PC | 162,000 |
| **University of North Carolina at Chapel Hill**<br>134 East Franklin Street, Campus Box 3233<br>Chapel Hill, NC 27599<br>*Microfluidic Modeling of Sickle Cell Disease* | $54,000<br>2015 | PC | 54,000 |
| **University of North Carolina at Chapel Hill**<br>134 East Franklin Street, Campus Box 3233<br>Chapel Hill, NC 27599<br>*Support for the Fund to Retain Clinical Scientists* | $583,200<br>2015 | PC | 270,000 |
| **Trustees Of The University Of Pennsylvania**<br>3451 Walnut Street, Room P221<br>Philadelphia, PA 19104-6205<br>*A role for peripheral blood monocytes in regulating tumor biology in pancreatic cancer* | $486,000<br>2013 | PC | 81,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Trustees Of The University Of Pennsylvania**<br>3451 Walnut Street, Room P221<br>Philadelphia, PA 19104-6205<br>*Transcriptional Silencing of C9orf72 in Amyotrophic Lateral Sclerosis and Frontotemporal Degeneration* | $486,000<br>2014 | PC | 162,000 |
| **Trustees Of The University Of Pennsylvania**<br>3451 Walnut Street, Room P221<br>Philadelphia, PA 19104-6205<br>*Clinical Research Mentorship· Insights Into the Pathophysiology of Aortic Sclerosis and its Progression to Aortic Stenosis* | $64,800<br>2015 | PC | 64,800 |
| **University Of Pittsburgh**<br>School of Medicine, Caife Hall<br>3550 Terrace Street<br>Pittsburgh, PA 15261<br>*Targeting the TWIST1- E2A pathway in oncogene driven lung cancer* | $486,000<br>2015 | PC | 243,000 |
| **University of Rochester**<br>AIR Box 695 601 Elmwood Ave<br>Rochester, NY 14642<br>*Understanding how the initial encounter with influenza virus poises children for protective immunity* | $486,000<br>2015 | PC | 243,000 |
| **University of Utah**<br>1395 East Presidents Circle Room 190<br>Salt Lake City, UT 84112<br>*Humans as a model organism to study metabolic changes in in heart failure and myocardial recovery* | $486,000<br>2013 | PC | 81,000 |
| **University of Wisconsin Foundation**<br>1848 University Ave<br>Madison, WI 53708-8860<br>*Genetic Variants, Immune Dysregulation, & Rheumatoid Arthritis* | $486,000<br>2015 | PC | 243,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Vanderbilt University Medical Center**<br>1161 21St Ave South Ste D3300 Mcn<br>Nashville, TN 37232-0011<br>*Racial Differences in Vagal Control of Glocose Homeostasis* | $486,000<br>2014 | PC | 162,000 |
| **Vanderbilt University Medical Center**<br>1161 21St Ave South Ste D3300 Mcn<br>Nashville, TN 37232-0011<br>*Clinical Research Mentorship· Inhaled corticosteroid use o prevent acute chest syndrome recurrence in children between 1 and 4 with sickle cell disease. a multi-institutional trial* | $64,800<br>2015 | PC | 64,800 |
| **Vanderbilt University Medical Center**<br>1161 21St Ave South Ste D3300 Mcn<br>Nashville, TN 37232-0011<br>*Support for the Fund to Retain Clinical Scientists* | $583,200<br>2015 | PC | 270,000 |
| **Washington University**<br>660 S. Euclid Ave<br>St. Louis, MO 63110<br>*Functional characterization of deleterious germline variability in MLL3 in infant leukemia* | $486,000<br>2014 | PC | 162,000 |
| **Washington University**<br>660 S. Euclid Ave<br>St. Louis, MO 63110<br>*Small intestinal Paneth cell phenotype in Crohn's Disease: Disease. clinical relevance and genetic associations genetic associations* | $486,000<br>2014 | PC | 162,000 |
| **Washington University**<br>660 S. Euclid Ave<br>St. Louis, MO 63110<br>*Understanding How Different Therapies Reshape Brain Networks to Promote Stroke Recovery* | $486,000<br>2014 | PC | 162,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Washington University**<br>660 S. Euclid Ave<br>St. Louis, MO 63110<br>*Novel Prediction Models for Patient-Centered Clinical Outcomes after Transcatheter Aortic Valve Replacement for Aortic Stenosis* | $486,000<br>2014 | PC | 162,000 |
| **Washington University**<br>660 S. Euclid Ave<br>*Dysregulated Signaling Pathways in Myeloproliferative Neoplasms* | $261,000<br>2014 | PC | 87,000 |
| **Washington University**<br>660 S. Euclid Ave<br>St. Louis, MO 63110<br>*Risk Alleles and Podocyte Endoplasmic Reticulum Stress in Focal Segmental Glomerulosclerosis* | $486,000<br>2015 | PC | 243,000 |
| **Washington University**<br>660 S. Euclid Ave<br>St. Louis, MO 63110<br>*Support for the Fund to Retain Clinical Scientists* | $583,200<br>2015 | PC | 270,000 |
| **William Marsh Rice University**<br>6100 Main St, Houston, TX 77005<br>*Accurate and Inexpensive Point-of-Care Diagnosis of Sickle Cell Anemia* | $486,000 | PC | 81,000 |
| **Yale University**<br>Grant & Contract Administration<br>47 College Street, Suite 203, PO Box 208047<br>New Haven, CT 06520-8047<br>*International Clinical Research Fellowships for Medical Students* | $864,000<br>2012 | PC | 82,842 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Yale University**<br>Grant & Contract Administration<br>47 College Street, Suite 203, PO Box 208047<br>New Haven, CT 06520-8047<br>*Genomic and Functional Analyses of Erythrocyte Hydration Pathways as Modifiers in Sickle Cell Disease* | $486,000<br>2012 | PC | 81,000 |
| **Yale University**<br>Grant & Contract Administration<br>47 College Street, Suite 203, PO Box 208047<br>New Haven, CT 06520-8047<br>*Regulating Dendritic Cell Migration during Vaccination* | $486,000<br>2013 | PC | 81,000 |
| **Yale University**<br>Grant & Contract Administration<br>47 College Street, Suite 203, PO Box 208047<br>New Haven, CT 06520-8047<br>*Defining Intercellular Metabolic Networks in Human Cutaneous Squamous Cell Carcinoma* | $486,000<br>2015 | PC | 243,000 |
| **Yale University**<br>Grant & Contract Administration<br>47 College Street, Suite 203, PO Box 208047<br>New Haven, CT 06520-8047<br>*Support for the Fund to Retain Clinical Scientists* | $583,200<br>2015 | PC | 270,000 |
| **TOTAL Medical Research** | | | **$15,647,416** |
| **CROSS PROGRAM GRANTS** | | | |
| **The Cedar Cultural Center Inc**<br>416 Cedar Ave S<br>Minneapolis, MN 55454<br>*To support development of a framework and methodology for measuring the mental, social and emotional health impact for Midnimo project participants* | $20,000<br>2015 | PC | 20,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Center for Cultural and Technical Interchange Between East and West (East-West Center)**<br>1601 East-West Road<br>Honolulu, HI 96848-1601<br>*To support the 2015 Senior Journalists Seminar* | $36,354<br>2015 | PC | 63,165 |
| **Film Makers Collaborative Incorporated**<br>6 Eastman Place #202<br>Melrose, MA 02176<br>*To support the production and online distribution of the series, "The Secret Life of Muslims"* | $75,000<br>2015 | PC | 75,000 |
| **Fund for Public Health in New York**<br>22 Cortlandt Street, Suite 1103<br>New York, NY 10007<br>*To support "Come See What's Cooking Kids!" implementation evaluation, and development of a long term sustainability plan* | $100,000<br>2015 | PC | 100,000 |
| **International Society For The Performing Arts Foundation**<br>630 9th Avenue, Suite 213<br>New York, NY 10036-4752<br>*To support participation of performing arts leaders from under-represented regions in ISPA's annual New York Congresses in 2016, 2017, and 2018* | $37,500<br>2015 | PC | 37,500 |
| **National Academy of Sciences**<br>500 Fifth Street, NW<br>Washington, DC 20001<br>*To support the Forum on Investing in Young Children Globally* | $100,000<br>2015 | PC | 100,000 |
| **New York Restoration Project**<br>254 West 31 Street, 10th Floor<br>New York, NY 10001<br>*To support the evaluation framework for the Haven Project,* | $42,000<br>2015 | PC | 42,000 |
| **TOTAL Cross Program Grants** | | | **$437,665** |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **MEDIA FUND** | | | |
| **Food And Environment Reporting Network**<br>576 Fifth Ave. Ste. 903<br>New York, NY 10036<br>*To support Environmental, Medical, and Biodiversity Food Reporting* | $75,000<br>2015 | PC | 75,000 |
| **Greater Washington Educational Telecommunications Assn**<br>3939 Campbell Ave<br>Arlington, VA 22206<br>*To support PBS NewsHour programming related to DDCF Fields of Interest* | $300,000<br>2014 | PC | 100,000 |
| **National Public Radio Inc**<br>1111 North Capitol Street, NE<br>Washington, DC 20002<br>*To support news programming in DDCF's areas of interest through general operating support funding* | $1,000,000<br>2014 | PC | 478,945 |
| **Proteus Fund Inc**<br>15 Research Drive, Suite B<br>Amherst, MA 01002<br>*To support the Spokesperson Bureau of Muslim, Arab, and South Asian (MASA) Voices Voices* | $25,000<br>2015 | PC | 25,000 |
| **Society of Environmental Journalists**<br>115 West Ave., Suite 301<br>Jenkintown, PA 19046-2492<br>*To support the Fund for Environmental Journalism's coverage of projects on biodiversity, conservation and climate change impact in North America* | $50,000<br>2015 | PC | 50,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **World Policy Institute Inc**<br>426 5th Avenue, 4th Floor<br>New York, NY 10011<br>*To support the production of Refugees Deeply, an in-depth website and social media hub about the global refugee crisis media hub about the global refugee crisis* | $50,000<br>2015 | PC | 50,000 |
| **TOTAL Media Fund** | | | **$778,945** |
| **PHILANTHROPIC SECTOR/OTHER** | | | |
| **Center for Effective Philanthropy Inc**<br>675 Massachusetts Ave., 7th fl<br>Cambridge, MA 02139<br>*General Support* | $10,000<br>2015 | PC | 10,000 |
| **Communication Network**<br>1365 York Ave 28H<br>New York, NY 10021<br>*General Support* | $ 1,000<br>2015 | PC | 1,000 |
| **Council on Foundations Inc.**<br>2121 Crystal Dr Ste 700<br>Arlington, VA 22202<br>*General Support* | $25,000<br>2015 | PC | 25,000 |
| **Foundation Center**<br>79 Fifth Avenue<br>New York, NY 10003<br>*General Support* | $25,000<br>2015 | PC | 25,000 |
| **Grants Managers Network Inc**<br>1666 K St NW STE 440<br>Washington, DC 20006<br>*General Support* | $ 7,000<br>2015 | PC | 7,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Independent Sector**<br>1602 L St NW, Ste 900<br>Washington, DC 20036<br>*General Support* | $17,500<br>2015 | PC | 17,500 |
| **Philanthropy New York Inc**<br>1500 Broadway, 7th Fl<br>New York, NY 10036<br>*To support implementation of the 2014-16 strategic plan through the Fund for 2025* | $100,000<br>2014 | PC | 50,000 |
| **Philanthropy New York Inc**<br>1500 Broadway, 7th Fl<br>New York, NY 10036<br>*General Support* | $28,000<br>2015 | PC | 28,000 |
| **Technology Affinity Group Inc**<br>23 Briar Road<br>Wayne, PA 19087<br>*General Support* | $ 2,000<br>2015 | PC | 2,000 |
| **The Carl Schurz Park Conservancy Inc**<br>1483 York Avenue<br>New York, NY 10075<br>*General support* | $37,819<br>2015 | PC | 37,819 |
| **Central Park Conservancy Inc**<br>14 East 60th Street<br>New York, NY 10022<br>*General Support* | $ 5,000<br>2015 | PC | 5,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Common Ground Community Housing Development Fund Corporation, Inc.**<br>505 Eighth Avenue, 5th Floor<br>New York, NY 10018<br>*General Support* | $25,000<br>2015 | PC | 25,000 |
| **Environmental Defense Fund Incorporated**<br>257 Park Ave S<br>New York, NY 10010<br>*General Support* | $11,409<br>2015 | PC | 11,409 |
| **Grant Foundation dba, Hopital Albert Schweitzer Haiti**<br>2840 Liberty Ave Ste 201<br>Pittsburgh, PA 15222-4775<br>*General support* | $ 5,000<br>2015 | PC | 5,000 |
| **Grassroot Soccer Inc**<br>198 Church St<br>Norwich, VT 05055<br>*General support* | $20,000<br>2015 | PC | 20,000 |
| **Maasai Wilderness Conservation Fund**<br>Attention Gail Young<br>PO Box 1413<br>Santa Barbara, CA 93102<br>*General support* | $10,000<br>2015 | PC | 10,000 |
| **Nature Conservancy**<br>4245 North Fairfax Drive, Suite 100<br>Arlington, VA 22203-1606<br>*General Support* | $50,000<br>2015 | PC | 50,000 |
| **Nest Inc**<br>501 5th avenue, Suite 1608<br>New York, NY 10017<br>*General support* | $10,000<br>2015 | PC | 10,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **New Professional Theatre Inc**<br>229 W. 42nd St. #501<br>New York, NY 10598<br>*General Support* | $10,000<br>2015 | PC | 10,000 |
| **Organ Alliance Inc**<br>115 w 18th St 2nd Fl<br>New York, New York 10011<br>*General support* | $10,000<br>2015 | PC | 10,000 |
| **Oxfam-America Inc**<br>226 Causeway St., 5th Floor<br>Boston, MA 02114<br>*General Support* | $12,500<br>2015 | PC | 12,500 |
| **Partners In Health A Nonprofit Corporation**<br>888 Commonwealth Ave, 3<br>Boston, MA 02215<br>*General support* | $12,500<br>2015 | PC | 12,500 |
| **Playwrights Horizons Inc.**<br>416 West 42nd Street<br>New York, NY 10036<br>*General Support* | $40,000<br>2015 | PC | 40,000 |
| **Saint Anns School**<br>129 Pierrepont Street<br>Brooklyn, NY 11201<br>*General support for Scholarship Fund* | $50,000<br>2015 | PC | 50,000 |

## PART XV, 3a - GRANTS AND CONTRIBUTIONS PAID DURING 2015

| Recipient and/or Purpose | Grant Amount/ Year Approved | Tax Status | Amount Paid 2015 |
|---|---|---|---|
| **Studio Museum In Harlem Inc**<br>144 W 125th St<br>New York, NY 10027<br>*General Support* | $22,819<br>2015 | PC | 22,819 |
| **Studio Museum In Harlem Inc**<br>144 W 125th St<br>New York, NY 10027<br>*General Support for the capital campaign* | $10,000<br>2015 | PC | 10,000 |
| **United States Fund for UNICEF**<br>125 Maiden Lane<br>New York, NY 10038<br>*General Support* | $12,500<br>2015 | PC | 12,500 |
| **TOTAL Philanthropic Sector/Other** | | | **$520,046** |
| **GRAND TOTAL** | | | **$65,559,056** |

# PART XV - GRANTS APPROVED FOR FUTURE PAYMENT

| SUMMARY BY PROGRAM AREA<br><br>Recipient and/or Purpose | Approved for Future Payment |
|---|---|
| TOTAL ARTS | $7,422,532 |
| TOTAL ARTS INITIATIVE | $8,827,831 |
| TOTAL CHILD WELL-BEING | $7,844,930 |
| TOTAL ENVIRONMENT | $8,674,558 |
| TOTAL MEDICAL RESEARCH | $8,170,530 |
| **GRAND TOTAL** | **$40,940,381** |

ATTACHMENT 16A

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **ARTS** | | | |
| **Alvin Ailey Dance Foundation Inc**<br>The Joan Weill Center for Dance<br>405 West 55th Street<br>New York, NY 10019<br>*Leadership Grants Program for Dance* | **$500,000** | **PC** | **$131,250** |
| **Appalshop, Inc.**<br>91 Madison Ave<br>Whitesburg, KY 41858<br>*To support "Performing Our Future" helping communities tap their rich cuyltural assets for economic and civic development* | **$225,000** | **PC** | **$ 80,875** |
| **Arts Midwest**<br>2908 Hennepin Ave, Suite 200<br>Minneapolis, MN 55408<br>*To support a series of engagement and messaging strategies that highlight the intersection of existing public values and the values inherent in the arts* | **$225,000** | **PC** | **$ 58,750** |
| **Association of Performing Arts Presenters, Inc.**<br>1211 Connecticut Ave NW, Suite 200<br>Washington, DC 20036<br>*Core Support for National Organizations FY16 & FY17* | **$360,500** | **PC** | **$180,250** |
| **Association of Performing Arts Presenters, Inc.**<br>1211 Connecticut Ave NW, Suite 200<br>Washington, DC 20036<br>*To support Building Bridges: Art, Culture and Identity* | **$1,280,000** | **PC** | **$504,973** |
| **AXIS Dance Company**<br>1428 Alice St., Ste. 200<br>Oakland, CA 94612<br>*Leadership Grants Program for Dance* | **$250,000** | **PC** | **$200,000** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **Ballet Hispanico of New York**<br>167 West 89th Street<br>New York, NY 10024<br>*Leadership Grants Program for Dance* | **$550,000** | **PC** | **$500,000** |
| **Brooklyn Academy of Music, Inc.**<br>Brooklyn Academy of Music<br>Peter Jay Sharp Building<br>30 Lafayette Avenue<br>Brooklyn, NY 11217-1486<br>*Leadership Grants Program for Dance* | **$500,000** | **PC** | **$100,000** |
| **Chamber Music America**<br>12 West 32nd Street, 7th Floor<br>New York, NY 10001-3813<br>*Core Support for National Organizations, FY 16 & FY 17* | **$150,000** | **PC** | **$ 75,000** |
| **Childrens Theater Company And School**<br>2400 3rd Ave<br>Minneapolis, MN 55404<br>*Theatre Commissioning and Production Program* | **$125,000** | **PC** | **$125,000** |
| **Creative Capital Foundation**<br>15 Maiden Lane, 18th Floor<br>New York, NY 10038<br>*Core Support for National Organizations, FY 16 & FY 17* | **$250,000** | **PC** | **$125,000** |
| **Dance USA**<br>1029 Vermont Ave NW, Suite 400<br>Washington, DC 20005<br>*Core Support for National Organizations, FY 16 & FY 17* | **$220,000** | **PC** | **$110,000** |
| **Danspace Project Inc**<br>131 East 10th Street<br>New York, NY 10003<br>*Leadership Grants Program for Dance* | **$250,000** | **PC** | **$200,000** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **Danspace Project Inc**<br>131 East 10th Street<br>New York, NY 10003<br>*To support the second phase of "Curatorial Practice in Performance Practice, Documentation, Dissemination"* | **$112,500** | **PC** | **$ 40,625** |
| **Discalced, Inc**<br>3 Lafayette Ave<br>Brooklyn, NY 11217-1415<br>*Leadership Grants Program for Dance* | **$1,000,000** | **PC** | **$594,300** |
| **Emerson College**<br>120 Boylston Street<br>Boston, MA 02116<br>*Core Support for Center for the Theatre Commons, FY 16 & FY 17* | **$121,980** | **PC** | **$ 60,990** |
| **Fractured Atlas Inc**<br>248 W 35th St FL 10<br>New York, NY 10001<br>*Core Support for National Organizations, FY 16 & FY 17* | **$470,000** | **PC** | **$235,000** |
| **Fractured Atlas Inc**<br>248 W 35th St FL 10<br>New York, NY 10001<br>*To support the American Dance Abroad project, "GLOBAL EXPOSURE"* | **$225,000** | **PC** | **$ 79,150** |
| **Chicago Theatre Group Inc**<br>170 N. Dearborn St.<br>Chicago, IL 60601<br>*Theatre Commissioning and Production Program* | **$125,000** | **PC** | **$ 25,000** |
| **Hubbard Street Dance Chicago Inc**<br>1147 W Jackson Blvd<br>Chicago, IL 60607<br>*Leadership Grants Program for Dance* | **$500,000** | **PC** | **$244,500** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **Jacob's Pillow Dance Festival, Inc.**<br>358 George Carter Road<br>Becket, MA 01223<br>*Leadership Grants Program for Dance* | **$500,000** | **PC** | **$250,000** |
| **Jazz at Lincoln Center Inc.**<br>3 Columbus Circle, 12th Floor<br>New York, NY 10019<br>*To support the Albert Murray Symposium on Jazz, Culture & Society* | **$225,000** | **PC** | **$ 56,250** |
| **Joyce Theater Foundation Inc**<br>175 Eighth Avenue<br>New York, NY 10011<br>*Leadership Grants Program for Dance* | **$500,000** | **PC** | **$250,000** |
| **Vivian Beaumont Theater Inc**<br>150 West 65th Street<br>New York, NY 10023<br>*Theatre Commissioning and Production Program* | **$125,000** | **PC** | **$125,000** |
| **Alonzo King Lines Ballet**<br>26 Seventh St<br>San Francisco, CA 94103<br>*Leadership Grants Program for Dance* | **$550,000** | **PC** | **$500,000** |
| **Margaret Jenkins Dance Studio Inc**<br>507 Polk Street Suite 320<br>San Francisco, CA 94102<br>*Leadership Grants Program for Dance* | **$250,000** | **PC** | **$175,000** |
| **Monterey Jazz Festival**<br>9699 Blue Larkspur Lane, Suite 204<br>Monterey, CA 93940<br>*Leadership Grants Program for Jazz* | **$400,000** | **PC** | **$350,000** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **National New Play Network**<br>641 D Street NW<br>Washington, DC 20004<br>*To support continued development of the New Play Exchange (NPX) an online tool to connect playwrights and theaters* | **$ 56,250** | **PC** | **$ 18,440** |
| **National Performance Network Inc**<br>1024 Elysian Fields<br>New Orleans, LA 70117<br>*Core Support for National Organizations, FY 16 & FY 17* | **$200,000** | **PC** | **$100,000** |
| **New England Foundation for the Arts**<br>145 Tremont Street, 7th floor<br>Boston, MA 02111<br>*To support the national convening,"Art in the Service of Understanding New Perspectives from Artists and the Military Community"* | **$101,250** | **PC** | **$ 66,190** |
| **ODC**<br>351 Shotwell Street<br>San Francisco, CA 94110<br>*Leadership Grants Program for Dance* | **$500,000** | **PC** | **$312,575** |
| **Paul Taylor Dance Foundation Inc**<br>551 Grand Street<br>New York, NY 10002<br>*Leadership Grants Program for Dance* | **$500,000** | **PC** | **$187,500** |
| **Ragamala Dance**<br>711 W Lake St, Suite 309<br>Minneapolis, MN 55408<br>*Leadership Grants Program for Dance* | **$250,000** | **PC** | **$200,000** |
| **Roundabout Theatre Company, Inc.**<br>231 West 39th Street, Suite 1200<br>New York, NY 10018<br>*Theatre Commissioning and Production Program* | **$125,000** | **PC** | **$125,000** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **Stephen Petronio Dance Company Inc**<br>140 Second Avenue, Suite 504<br>New York, NY 10003-8384<br>*Leadership Grants Program for Dance* | **$250,000** | **PC** | **$150,000** |
| **STREB Inc.**<br>51 North 1st Street<br>Brooklyn, NY 11249<br>*Leadership Grants Program for Dance* | **$450,000** | **PC** | **$306,250** |
| **Theatre Communications Group Inc.**<br>520 Eighth Ave, Suite 801<br>New York, NY 10018-4156<br>*Core Support for National Organizations, FY 16 & FY 17* | **$470,000** | **PC** | **$235,000** |
| **Theatre Development Fund Inc**<br>520 Eighth Ave, Suite 801<br>New York, NY 10018<br>*To support the Triple Play Project in finding ways to connect playwrights and generative theatre artists with audiences* | **$ 39,375** | **PC** | **$ 6,345** |
| **UBW, Inc**<br>138 South Oxford Street, 4B<br>Brooklyn, NY 11217<br>*Leadership Grants Program for Dance* | **$250,000** | **PC** | **$160,000** |
| **UBW, Inc**<br>138 South Oxford Street, 4B<br>Brooklyn, NY 11217 | **$ 29,869** | **PC** | **$ 3,319** |
| **To support the UBW Choreographic Center**<br>**Victory Garden Theater**<br>2433 N Lincoln Avenue<br>Chicago, IL 60614<br>*Theatre Commissioning and Production Program* | **$125,000** | **PC** | **$ 25,000** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **White Bird**<br>5620 SW Edgemont Place<br>Portland, OR 97239<br>*Leadership Grants Program for Dance* | **$250,000** | **PC** | **$150,000** |
| **TOTAL Arts** | | | **$7,422,532** |
| **ARTS INITIATIVE** | | | |
| **Creative Capital Foundation**<br>15 Maiden Lane, 18th Floor<br>New York, NY 10038<br>*To support the Doris Duke Performing Artists Awards Program* | **$1,058,873** | **PC** | **$447,831** |
| **Doris Duke Foundation Inc.**<br>650 5th Ave fl 19<br>New York, NY 10019-6108<br>*To support the fifth cohort of Doris Duke Artist Awards (DDA 2016)* | **$5,500,000** | **PF** | **$5,500,000** |
| **United States Artists Inc**<br>980 N Michigan Ave, Suite 1300<br>Chicago, IL 60611<br>*Umoted States Artists Fellowships in dance, jazz, and theatre* | **$3,600,000** | **PC** | **$2,880,000** |
| **TOTAL Arts Initiative** | | | **$8,827,831** |
| **CHILD WELL-BEING** | | | |
| **Boston Community Capital Inc**<br>600 Atlantic Avenue<br>Boston, MA 02110<br>*To support expansion of the Working Cities Challenge Model to small and mid-sized cities in New England and other Federal Reserve districts* | **$1,500,000** | **PC** | **$1,341,660** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **Boston Medical Center Corporation**<br>One Boston Medical Center Place<br>Boston, MA 02118<br>*To support and expand the Vital Village Community Engagement Network* | **$1,000,000** | **PC** | **$1,000,000** |
| **Child Trends, Incorporated**<br>7315 Wisconsin Avenue, Suite 1200W<br>Bethesda, MD 20814<br>*To support the project, "Promoting Child Well-Being through Improved Communication of Research to State and Local Policy-makers, Administrators, and Advocacy Organizations" Advocacy Organizations "* | **$400,000** | **PC** | **$275,000** |
| **Children's Bureau of Southern California**<br>1910 Magnolia Ave.<br>Los Angeles, CA 90007<br>*To support and expand the Magnolia Community Initiatives (MCI)* | **$1,000,000** | **PC** | **$1,000,000** |
| **Childrens Outing Assn**<br>909 E North Ave<br>Milwaukee, WI 53212<br>*To support a widespread community effort to improve health and well-being for children and families in two Milwaukee neighborhoods* | **$950,000** | **PC** | **$950,000** |
| **Community Solutions International Inc**<br>125 Maiden Lane, Ste 16C<br>New York, NY 10038<br>*To support and expand the Brownsville Partnership* | **$1,000,000** | **PC** | **$1,000,000** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **National Governors Association Center for Best Practices**<br>444 North Capitol Street, Suite 267<br>Washington DC, DC 20001-1512<br>*To support the Two-Generation State Policy Learning and Action Development, in partnership with the Center for Law and Social Policy* | **$600,000** | **PC** | **$357,400** |
| **The Nemours Foundation**<br>10140 Centurion Parkway North<br>Jacksonville, FL 32256<br>*To support the Building Community Resilience collaborative* | **$800,000** | **PC** | **$466,670** |
| **Thunder Valley Community Development Corporation**<br>290 Empowerment Dr<br>Porcupine, SD 57772<br>*To support Ecosystem of Opportunity· Creating a Model for Pathways to Reisilience; enhancing and evaluating the Thunder Valley CDC model for replication in other communities* | **$1,700,000** | **PC** | **$1,454,200** |
| **TOTAL Child Well-being** | | | **$7,844,930** |
| **ENVIRONMENT** | | | |
| **Fund for Public Health in New York**<br>22 Cortlandt Street, Suite 1103<br>New York, NY 10007<br>*To support "Improving the Nutritional Health of Young Children and Families in East Harlem," a joint project of FPHNY, the Council on the Environment, Inc (GrowNYC), the NYP Dept of Health & Mental Hygiene, and the NYC Dept of Education* | **$1,536,000** | **PC** | **$800,000** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **Natural Resources Defense Council Inc**<br>40 W 20th St.<br>New York, NY 10011<br>*To support the City Energy Project* | **$3,500,000** | **PC** | **$1,840,000** |
| **Nature Conservancy**<br>4245 North Fairfax Drive, Suite 100<br>Arlington, VA 22203-1606<br>*To support the first phase of the Natural Climate Solutions Initiative Transforming Land Use to Curb Climate Change, a joint effort of the Nature Conservancy and the World Resources Institute* | **$3,970,000** | **PC** | **$1,575,858** |
| **New York City Energy Efficiency Corporation**<br>1359 Broadway, 19th Floor<br>New York, NY 10018<br>*To support efforts to advance energy efficient retrofits of buildings in New York City* | **$300,000** | **PC** | **$100,000** |
| **Regents of The University of California**<br>UC Santa Cruz<br>1156 High Street<br>Santa Cruz, CA 95060<br>*To support the Doris Duke Conservation Scholars Program* | **$2,000,000** | **PC** | **$1,062,500** |
| **University Of Florida Foundation Inc**<br>1938 W. University Avenue<br>Gainesville, FL 32604<br>*To support the Doris Duke Conservation Scholars Program* | **$1,855,000** | **PC** | **$970,700** |
| **Regents of the University of Michigan**<br>Office of Research and Sponsored Projects<br>First Floor, Wolverine Tower<br>3003 S. State Street<br>Ann Arbor, MI 48109-1115<br>*To support the Doris Duke Conservation Scholars Program* | **$2,000,000** | **PC** | **$1,062,500** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **University of Washington Foundation**<br>4333 Brooklyn Ave. NE<br>Box 359504<br>Seattle, WA 98195-9504<br>Seattle, WA 98105<br>*To support the Doris Duke Conservation Scholars Program* | **$1,991,000** | **PC** | **$963,000** |
| **US Green Building Council New York Chapter**<br>20 Broad Street, Suite 709<br>New York, NY 10005<br>*To support efforts to advance energy efficient retrofits of buildings in New York City* | **$700,000** | **PC** | **$300,000** |
| **TOTAL Environment** | | | **$8,674,558** |

**MEDICAL RESEARCH**

| | | | |
|---|---|---|---|
| **Boston University Medical Center**<br>One Medical Center Place<br>Boston, MA 02118<br>*Atrial Fibrillation health Literacy Information Technology Trial (AF-LITT)* | **$486,000** | **PC** | **$243,000** |
| **Brigham and Women's Hospital Inc**<br>75 Francis Street<br>Boston, MA 02115<br>*Adrenal and Parathyroid Hormone Interactions in Human Health* | **$486,000** | **PC** | **$243,000** |
| **Childrens Hospital Corporation**<br>300 Longwood Avenue<br>Boston, MA 02115<br>*High-resolution and high-throughput genome editing to determine minimal repressive sequences within the beta-globin gene cluster and establish lead compounds for therapeutic re-induction of fetal hemoglobin in SCD* | **$486,000** | **PC** | **$243,000** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **Children's Hospital of Philadelphia**<br>34th and Civic Center Blvd.<br>Philadelphia, PA 19104<br>*Expanding genomic approaches to transfusion therapy for patiences with sickle cell disease* | **$486,000** | **PC** | **$243,000** |
| **Children's Hospital Medical Center**<br>3333 Burnett Avenue<br>Cincinnati, OH 45229<br>*CD38 bright CD8+ effector memory T-cells herald acute graft versus host disease* | **$486,000** | **PC** | **$243,000** |
| **Children's Hospital Medical Center**<br>3333 Burnett Avenue<br>Cincinnati, OH 45229<br>*Genetic variants influencing the phenotypic expression of sickle cell anemia* | **$486,000** | **PC** | **$243,000** |
| **Trustees Of Columbia University In The City of New York**<br>60 Haven Avenue, B2<br>New York, NY 10032<br>*Advanced phenotypic and genotypic methods to predict TB treatment response and measure emergence TB drug-resistance* | **$486,000** | **PC** | **$243,000** |
| **Duke University**<br>Durham, NC 27710<br>*High-throughput Metabolite Profiling and Genetic Analyses to Identify Novel Predictive Biomarkers of SCD-related Complications* | **$486,000** | **PC** | **$243,000** |
| **Duke University**<br>Durham, NC 27710<br>*Fund to Retain Clinical Scientists* | **$583,200** | **PC** | **$270,000** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **Johns Hopkins University**<br>Broadway Research Building, Suite 117<br>733 North Broadway<br>Baltimore, MD 21205<br>*Johns Hopkins School of Medicine Doris Duke Clinical Investigator Support Program* | **$583,200** | **PC** | **$270,000** |
| **General Hospital Corporation, dba Massachusetts General Hospital**<br>55 Fruit Street<br>Boston, MA 02114<br>*Neurobiological basis of clozapine response in schizophrenia patients* | **$486,000** | **PC** | **$243,000** |
| **Medical University Hospital Authority**<br>169 Ashley Avenue Suite 203<br>Charleston, SC 29425-8905<br>*Program to Enhance the Retention of Clinicians at the the Medical University of South Carolina* | **$583,200** | **PC** | **$270,000** |
| **New York University**<br>550 First Avenue<br>New York, NY 10016<br>*Fund to Retain Clinical Scientists at NYU Langone Med Center* | **$583,200** | **PC** | **$270,000** |
| **Rockefeller University**<br>1230 York Avenue<br>New York, NY 10021<br>*Understanding the mechanisms behind the disparate actions of endogenous vitamin D vs vitamin D supplements on the lipid metabolism a rational step towards optimizing treatment of vitamin D deficiency* | **$486,000** | **PC** | **$243,000** |
| **The Board Of Trustees Of The Leland Stanford Junior University**<br>Stanford, CA 94305-6045<br>*The role of iron and inflammation in Alzheimer's disease· from ex vivo to in vivo* | **$486,000** | **PC** | **$243,000** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **Regents of The University of California at San Diego**<br>9500 Gilman Drive<br>La Jolla, CA 92103-8756<br>*Human viral communities as vehicles for the spread of antibiotic resistance in the community* | **$486,000** | **PC** | **$243,000** |
| **Regents of The University of California at San Diego**<br>9500 Gilman Drive<br>La Jolla, CA 92103-8756<br>*Mapping the environmental landscape of human cardiovascular disease* | **$486,000** | **PC** | **$243,000** |
| **University Of California San Francisco**<br>University of California, San Francisco<br>505 Parnassus Ave M696<br>San Francisco, CA 94118<br>*Improving cardiovascular risk stratification in kidney transplant recipients* | **$486,000** | **PC** | **$243,000** |
| **University Of California San Francisco**<br>University of California, San Francisco<br>505 Parnassus Ave M696<br>San Francisco, CA 94118<br>*Enhanced therapeutic monitoring of multidrug resistant* | **$486,000** | **PC** | **$243,000** |
| **University Of California San Francisco**<br>University of California, San Francisco<br>505 Parnassus Ave M696<br>San Francisco, CA 94118<br>*Fund to Retain Clinical Scientists* | **$583,200** | **PC** | **$270,000** |
| **Regents of the University of Colorado**<br>4200 East Ninth Avenue<br>Denver, CO 80262<br>*Fund to Retain Clinical Scientists* | **$583,200** | **PC** | **$270,000** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **Regents of the University of Michigan**<br>Office of Research and Sponsored Projects<br>First Floor, Wolverine Tower<br>3003 S. State Street<br>Ann Arbor, MI 48109-1115<br>*Cancer-specific RNA Editing as a Novel Mechanism for for Chemoresistance in Pancreatic Cancer* | **$486,000** | **PC** | **$243,000** |
| **Regents of the University of Michigan**<br>Office of Research and Sponsored Projects<br>First Floor, Wolverine Tower<br>3003 S State Street<br>Ann Arbor, MI 48109-1115<br>*Big Data in the Brain: Implementing and Characterizing a a Novel Biomarker of Epilepsy* | **$402,000** | **PC** | **$243,000** |
| **Regents of the University of Michigan**<br>Office of Research and Sponsored Projects<br>First Floor, Wolverine Tower<br>3003 S. State Street<br>Ann Arbor, MI 48109-1115<br>*To support the evaluation of the Fund to Retain Clinical Scientist Initiative* | **$380,000** | **PC** | **$124,530** |
| **University of North Carolina at Chapel Hill**<br>134 East Franklin Street, Campus Box 3233<br>Chapel Hill, NC 27599<br>*Fund to Retain Clinical Scientists* | **$583,200** | **PC** | **$270,000** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **University Of Pittsburgh**<br>School of Medicine<br>Scaife Hall<br>3550 Terrace Street<br>Pittsburgh, PA 15261<br>*Targeting the TWIST1- E2A pathway in oncogene driven lung cancer* | **$486,000** | **PC** | **$243,000** |
| **University of Rochester**<br>AIR Box 695 601 Elmwood Ave<br>Rochester, NY 14642<br>*Understanding how the initial encounter with influenze virus poises children for protective immunity* | **$486,000** | **PC** | **$243,000** |
| **University of Wisconsin Foundation**<br>1848 University Ave<br>Madison, WI 53708-8860<br>*Genetic Variants, Immune Dysregulation,& Rheumatoid Arthritis* | **$486,000** | **PC** | **$243,000** |
| **Vanderbilt University Medical Center**<br>1161 21St Ave South Ste D3300 Mcn<br>Nashville, TN 37232-0011<br>*Fund to Retain Clinical Scientists* | **$583,200** | **PC** | **$270,000** |
| **Washington University**<br>660 S Euclid Ave<br>St. Louis, MO 63110<br>*Risk Alleles and Podocyte Endoplasmic Reticulum Stress in Focal Segmental Glomerulosclerosis* | **$243,000** | **PC** | **$243,000** |

## PART XV, 3b - GRANTS APPROVED IN 2015 FOR FUTURE PAYMENT

| Recipient and/or Purpose | Total Grant | Tax Status | Approved for Future Payment |
|---|---|---|---|
| **Washington University**<br>660 S. Euclid Ave<br>St. Louis, MO 63110<br>*Fund to Retain Clinical Scientists at Washington University School of Medicine* | **$583,200** | **PC** | **$270,000** |
| **Yale University**<br>Grant & Contract Administration<br>47 College Street, Suite 203<br>P.O Box 208047<br>New Haven, CT 06520-8047<br>*Defining Intercellular Metabolic Networks in Human Cutaneous Squamous Cell Carcinoma* | **$486,000** | **PC** | **$243,000** |
| **Yale University**<br>Grant & Contract Administration<br>47 College Street, Suite 203<br>P O. Box 208047<br>New Haven, CT 06520-8047<br>*Fund to Retain Clinical Scientists at Yale School of Medicine* | **$583,200** | **PC** | **$270,000** |
| **TOTAL Medical Research** | | | **$8,170,530** |
| **GRAND TOTAL** | | | **$40,940,381** |

**Doris Duke Charitable Foundation**
**Form 990-PF - Return of Private Foundation**
**FYE: 12/31/2015**
**Direct Charitable Activities**
**Attachment 17**

| | 2015 |
|---|---|
| 2015 AFRICAN HEALTH INITIATIVE PHIT MEETING | $71,077 |
| AFRICAN HEALTH INITIATIVE GLOBAL HEALTH FUNDERS MEETING | $3,972 |
| AFRICAN HEALTH INITIATIVE GRANTEE MEETING- VANCOUVER | $100,000 |
| AFRICAN HEALTH INITIATIVE PHASE II MEASUREMENT MEETING | $21,757 |
| 2015 AFRICAN HEALTH INITIATIVE SITE VISITS | $21,441 |
| FUND FOR NATIONAL PROJECTS MEETING | $298 |
| ARTS EXPLORATION PANEL MEETING 9/13/15 | $12,908 |
| FUND FOR NATIONAL PROJECTS MEETING 7/13/15 | $10,585 |
| ARTIST IMPLEMENTATION PANEL MEETING 11/12/15 | $40,854 |
| ARTS NATIONAL SECTOR MEETING 9/13/15 | $7,978 |
| ARTS THEATER PANEL MEETING 11/11/15 | $4,677 |
| ARTS PROGRAM SITE VISITS | $57,307 |
| CHILD WELL BEING WELFARE FUNDERS COLLABORATIVE 6/8/15 | $920 |
| CHILD WELL BEING POLICY FELLOWSHIP LEADERS MEETING 6/17/15 | $2,924 |
| ENVIRONMENT DDCSP PLANNING &LEADERSHIP MEETINGS 11/6/15 | $12,110 |
| ENVIRONMENT DDCSP EXPANSION ADVISORY PANEL 3/27/15 | $2,500 |
| THE NATURE CONSERVANCY NATURAL CLIMATE WORKSHOP | $41,331 |
| CLINICAL RESEARCH MENTORSHIP MEETING 5/28/15 | $8,112 |
| CLINICAL SCIENTIST MEETING 4/22/15 | $52,126 |
| INTERNATIONAL CLINICAL RESEARCH FELLOWSHIP MEETING 6/8/15 | $42,458 |
| **Total** | **$515,334** |

**Doris Duke Charitable Foundation**
**Form 990-PF**
**Part IX-A: Summary of Direct Charitable Activities**
**FYE: 12/31/2015**

## Environment Activities

Doris Duke was a lifelong environmentalist with a keen interest in conservation. In her will, she expressed her interest in "the preservation of wildlife, both flora and fauna" and in supporting "ecological endeavors."

The mission of the Environment Program is to enable communities to protect and manage wildlife habitat and create efficient built environments. It supports environmental initiatives and partners with other tax-exempt organizations, such as The Nature Conservancy, in the pursuit of land conservation, and strives to accomplish its mission through the following strategies:

- Accelerate land conservation in an era of climate change through the protection of landscapes that exhibit climate change resilience and help wildlife adapt to the impacts of climate change.

- Reduce impacts on the landscape from increased energy development and energy demand by facilitating the sensitive siting of energy infrastructure and reducing energy demand through increasing energy efficiency in the buildings sector.

- Encourage land stewardship and sustainability in the Tri-State area by supporting local efforts to manage wildlife habitat and create efficient, healthy, and vibrant built and natural environments in the greater New York City area.

- Strengthen the conservation field by diversifying and increasing the representation of under-represented communities in the conservation workforce. Build the overall capacity of the community focused on the permanent protection of high-priority wildlife habitat.

## Medical Research Activities

Doris Duke was a significant supporter of medical research, making contributions to hospitals and research centers throughout her life. In her will, she expressed her interest in supporting "medical research designed to effectuate cures of major diseases."

The mission of the Medical Research Program is to support the prevention, diagnosis and treatment of human disease. The Medical Research Program strives to accomplish its mission through the following strategies:

- Encourage and develop clinical research careers that build the clinical research career ladder by supporting physician scientists in the United States at different stages of their career.

- Advance biomedical research and innovation through the support of innovative approaches to clinical research in targeted disease areas.

## African Health Activities

The foundation also seeks to spur significant advances in strengthening health systems in sub-Saharan Africa through a special 10-year grant-making initiative. The African Health Initiative supports partnerships based at

U.S. institutions that design, implement and evaluate large-scale models of care that link implementation research and workforce training directly to the delivery of primary healthcare in sub-Saharan Africa.

## Child Well-Being Activities

Doris Duke took a special interest in the needs of children, supporting nearly 85 child welfare organizations during her life. Her support included contributions to orphanages, camps, mentorship programs, little league teams, hospitals, and boys and girls clubs. In her will, Doris Duke expressed her interest in "the prevention of cruelty to children."

The mission of the Child Well-being Program is to promote children's healthy development and protect them from abuse and neglect. To accomplish this mission, the program favors a public health approach and is especially interested in place-based, whole-community approaches that seek to engage a range of participants from various disciplines to ensure that family well-being is supported by strong communities. It uses the following strategies to do so:

- Build a repertoire of prevention strategies through the examination and support of place-based interventions that ensure that a community, not only a parent, provides a setting that promotes child well-being.

- Expand the capacity of existing systems by working within existing systems that engage with groups characterized as high risk for child abuse and neglect, for the purpose of targeting at-risk individuals more effectively and efficiently, particularly children from Native American/Alaska Native communities, youth in or transitioning out of foster care, and low-income families.

- Develop and disseminate knowledge by building a broader audience for the ongoing research and investigation of child well-being. Support doctoral students engaged in the multidisciplinary work of child well-being.

## Performing Arts Activities

Doris Duke, in her will, expressed an interest in assisting "actors, dancers, singers, musicians and other artists of the entertainment world in fulfilling their ambitions and providing opportunities for the public presentation of their arts and talents." The Arts Program supports this interest by focusing its support on contemporary dance, jazz and theater artists, and the organizations that nurture, present and produce them.

The mission of the Arts Program is to support performing artists with the creation and public performance of their work. The Arts Program accomplishes this mission through the following strategies:

- Support artistic creation and distribution through national competitive initiatives administered by intermediary organizations that support the commissioning, production and presentation of new work in dance, jazz and theatre. Typically these re-granting programs offer additional benefits to supported artists, including professional development, networking opportunities, and participation in conferences and other meetings.

- Strengthen organizations that serve performing artists through grants that support their planning, technical assistance and implementation for bold, innovative approaches addressing current issues affecting the performing arts: the impact of technology, loss of audiences and/or changes in leadership.

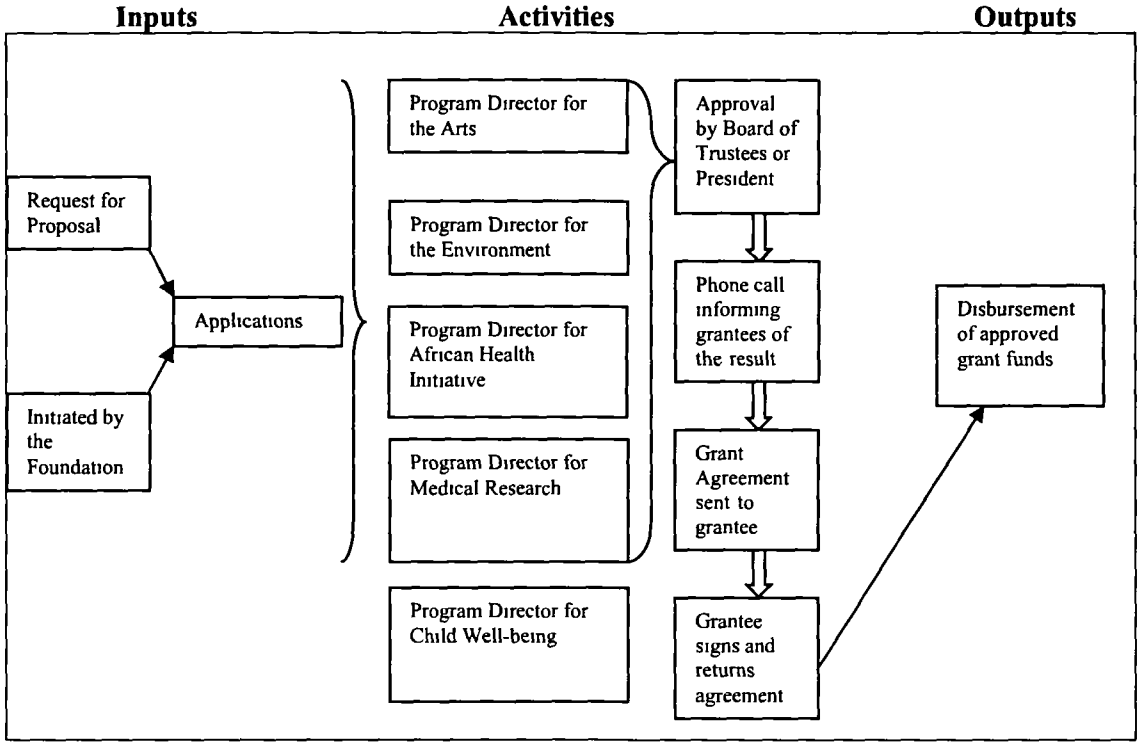
- Build the national sector by supporting activities that strengthen national organizations critical to the health of dance, jazz, presenting and/or theater fields, as well as national projects that have the potential to improve the health of a given field.

- Empower, invest in and celebrate artists by offering flexible, multi-year and unrestricted funding for artists in contemporary dance, theater, jazz and related interdisciplinary work. This strategy is pursued primarily through the Arts Program's Doris Duke Performing Artist Initiative, a 10-year initiative that was launched in 2011.

***

The $515,334 in direct charitable expenditures listed in Part IX-A represent amounts paid by the Doris Duke Charitable Foundation to support various meetings, conferences, seminars and other climate, conservation and/or medical research endeavours. Further information about each individual program listed in the attached schedule is available upon request.

**Doris Duke Charitable Foundation**
**Grants Process**
**December 31, 2015**




The mission of the Doris Duke Charitable Foundation (DDCF) is to improve the quality of people's lives through grants supporting the performing arts, environmental conservation, medical research and child well-being, and through preservation of the cultural and environmental legacy of Doris Duke's properties.

Grant Development and Approval

Grants are either competitively awarded through Request for Proposal (RFP) processes or are initiated by the Foundation. Grants and proposed grant competitions are presented to the Board of Trustees at one of the four meetings that take place during the year. All grants must be approved by the Board of Trustees with the exception of the Program Fund, Cross-Program Fund, Trustee recommended grants, and grants selected through competitive, peer-reviewed program initiatives. In these cases, the Board approves a total amount for the program initiative or fund and delegates to DDCF's President Edward Henry the authority to approve grants. Authority for Program Fund and Cross-Program Fund grants is sought from the Board each November for the following year. Program Fund and Cross-Program Fund grants must be for purposes that are in keeping with the mission of the Foundation; the amount of these grants is limited both on a per-grant basis ($100,000 or less) and cumulative annual basis for each program (up to 5% of each Program's annual payout budget may be awarded as Program Fund grants). Additionally, the Board authorized the President to approve up to $500,000 in Program Fund grants for the African Health Initiative (with individual grants totaling no more than $100,000), with funding to come from the initiative's annual grants budget. All Program Fund and Cross-Program Fund grants are developed by staff, undergo routine due diligence review, and are approved by the President.

Each Cross-Program Fund grant and Program Fund grants that total more than $50,000 are discussed at a Staff Program Review meeting prior to approval. Finally, in 2015, seven Trustees recommended grants totaling $404,546; the grant purpose and organizations are vetted by staff and approved by the Board Chair prior to grant award.

***Grants solicited by the Foundation***. Edward Henry (President) is actively involved in the entire grants cycle. Prior to performing all the research on a potential grantee, the Program Director discusses the organization or proposed project with Mr. Henry. Based on this discussion, the research will begin or the project will be set aside.

Once a completed grant application is returned to DDCF, the Program Director and staff members review it to ensure that the organization meets DDCF requirements and that the program description is in line with DDCF's mission and program objectives. The application is also reviewed by the Program Associate for Grants Administration to ensure that all the proper documentation has been received and the organization is a qualified not-for-profit. Each proposed grant is entered into GIFTS, the Foundation's grants management database.

Once the submitted application has been reviewed and approved, the Program Director compiles a docket for presentation to the Board of Directors that describes the potential grantee organization and its proposed use of funds. Prior to the Board meeting, the Program Director presents the information to senior management and program staff at a Program Review session and at a "practice" session for the Board meeting. During the meeting, the senior staff critiques the written summary and the presentation, and appropriate changes are made, as necessary.

At the next Board meeting, the docket will be presented to the Board for their approval. The Board's decisions regarding proposed grants are documented in the Board of Director Minutes. After a grant has been approved by the board, Grants Administration staff records the grant as "Approved" in GIFTS and the GIFTS system assigns a grant number. Grants Administration sends a monthly report detailing grants approved to Finance and the Accounting Manager prepares a journal entry to record the liability.

***Grants awarded through competitive Requests for Proposals.*** Once the Board approves funds for a grant competition and delegates authority to approve specific grants that will be identified through that competition to the DDCF President, program staff release a Request for Proposals (RFP). The RFP specifies the purpose of the funding available through the award program, the timeline for application, the selection process, and expectations of projects selected. Competitions may involve one or two stages of application (i.e., letter of interest followed by a full proposal or just a full proposal) with staff and/or panel review at the first stage and panel review at the second stage. Applications are brought into GIFTS via on-line forms. Review panels score applications in accordance with the criteria specific to the grant program and recommend a roster of grants to the Foundation. With authority delegated from the Board, the President approves grants to the projects selected via the competition. Grants Administration staff conducts a standard pre-grant agreement due diligence of each institution approved for funding.

Grant Award

Once the Board or President approves a grant, the appropriate DDCF program staff member notifies the organization by telephone. The Program Associate for Grants Administration generates a draft grant agreement using the appropriate GIFTS template (grant agreement templates are stored in GIFTS and merged with the GIFTS grant data to create the grant agreement). The Program Director and Director of Grants Management review and refine the grant agreement until they are satisfied that it is complete. Once the Director of Grants

Management has approved the grant agreement and award letter and verified that all grant documentation is in order, the Director of Grants Managements notifies the President via e-mail that the grant is ready for approval and requests the President's approval to affix his signature (jpeg) to the agreement and award letter.

After the President replies that the grants are approved and his jpeg signature may be used, the approval e-mail is stored in the GIFTS grant record and the agreement is sent to the grantee organization for electronic signature using Adobe's EchoSign product. The grant agreement specifies the total funds awarded, payment schedule, use of the funds, performance and financial reporting requirements, and various other disclosures regarding DDCF's rights (for example, to publicly announce the grant). If the grantee organization agrees to the terms of the agreement, an authorized representative of the organization will sign electronically and return the agreement to the DDCF via EchoSign. When the fully executed grant agreement is received by the Foundation, the first grant payment is initiated by Grants Administration and forwarded to Finance for processing.

Grant Payment Process

Once the Grants Manager has determined that all requirements for a grant payment have been met, the grant payment process is initiated.

The Grants Associate confirms that ACH instructions are still correct and updates the GIFTS record if necessary. Then, Grants Administration exports the grantee data from GIFTS to an Excel spreadsheet which is emailed to the Accounting Manager for upload to Great Plains (GP). The information is uploaded into GP where it is reviewed and approved as per the signing authority below. Once the approvals have been made, an ACH encrypted file is generated and transmitted to Bank of America via a secured transmission website. The transmission is then verified with the bank via a phone call to an ACH automated phone system. Once the payment has been sent, the grantee and appropriate program staff are alerted by email that the ACH has been executed.

*Grant signing authority requirements*:

| Grant Payment Amount | Requirements | Signatories |
|---|---|---|
| between $0 and $9,999.99 | Require any one signer listed | Peter Simmons<br>Eileen Oberlander<br>Edward Henry<br>Jeffrey Heil |
| between $10,000 and $99,999.99 | Require any two signers listed | Peter Simmons<br>Eileen Oberlander<br>Edward Henry<br>Jeffrey Heil |
| Equal to or over $100,000 | Require two of the following individuals | Peter Simmons<br>Edward Henry<br>Eileen Oberlander |

Grant Monitoring

Within each grant agreement, the grantee agrees to provide DDCF with certain interim and final financial and program performance information. The time period for this submission varies from

grant to grant. To ensure that the DDCF funds are being used in accordance with the grant agreement, the grantee is required to submit the following information:

- A narrative describing program accomplishments, challenges, and future plans
- An assessment of the project to date (have the original goals been achieved, were any program refinements necessary?)
- Copies of any literature, reports, or media coverage that was generated as a result of the grant
- A copy of the most recent audited financial statements
- A budget to actual comparison of use of the grant funds (indicating any budget modifications and explanations for budget variances)
- If a multi-year grant, a revised budget and budget narrative for the upcoming year (if warranted)
- Notification to DDCF of any changes to their board, senior staff, or tax-exempt status.

This information is required whether the grant period is one year or multi-year. If the grant is multi-year, the subsequent disbursements will not be made until this information has been received, reviewed, and approved by DDCF staff.

The grantee submits the required information and documentation to DDCF via on-line reporting forms. Once received, the Program staff and Grants Administration staff review the reports to ensure that the grantee has been using DDCF's funds for the purpose outlined in their grant agreement. This includes determining if certain project milestones have been met, whether funds have been spent reasonably and within program guidelines, and whether the project has benefited the items/population targeted in the agreement. Additionally, the financial information is reviewed by the Director of Grants Management or Program Associate for Grants Management, and either the Program Director or Program Officer – and, as necessary, by a member of the Finance Department – to ensure that the grantee is not experiencing any financial difficulties.

Once this information has been evaluated and approved by DDCF, the payment request is prepared for multi-year grants or, for single year grants, the file will be closed.

Computer information systems

The Foundation uses GIFTS, a grants management database system purchased from MicroEdge, Inc., to track detailed information about each application for funding and each grant approved. Applications are received through an internet grants application module and retrieved into the database and their status is tracked according to their progress through the review, approval or declination, and disbursement and reporting process. The database is also used to generate grant related documentation, including (but not limited to) grant award letters and grant agreements, payment request memoranda, and reporting review checklists. GIFTS also provides reports that enable the user to project the upcoming disbursements, determine when financial or other reporting information is required, track grant expiration, and track activities related to each grant.

**Doris Duke Charitable Foundation**
**Form 990-PF**
**FYE 12/31/2015**

**Form 990-PF, Part I, Line 6(a) & Part IV Statement**
**Attachment 20**

| Asset Class | Realized Gains |
|---|---|
| Short Term Investments | 101,530 |
| Fixed Income Investments | 2,409,964 |
| Marketable Equity Alternative Investments | - |
| Marketable Commingled Equity Investments | 2,440,118 |
| Marketable Distressed/High Yield Alternatives | 3,092,880 |
| Marketable Long/Short Equity Alternatives | 325,972 |
| Marketable Multi-Strategy Alternatives | 3,701,157 |
| Non-Exchange traded Buyout/Growth Funds | 11,129,474 |
| Non-Exchange Traded Distressed Funds | - |
| Non-Exchange Traded Fund of Funds | 4,683,120 |
| Non-Exchange Traded Real Assets | 13,551,240 |
| Non-Exchange TradedVenture Capital Funds | 47,844,751 |
| Allocation to Doris Duke Foundation (DDF) | (210,691) |
| **Capital Gains/Losses Per Books - Part I, Line 6a** | **$89,069,515** |
| Limited Partnership Investments | 6,196,101 |
| Less Short-Term Capital Gain from UBTI | (2,484) |
| Less Long-Term Capital Gain from UBTI | (237,257) |
| Less. 1231 Gain from UBTI | (2,449,164) |
| **Total Capital Gains - Part I, Line 7b** | **$92,576,712** |

A detailed schedule of the Foundation's capital gains and losses by specific funds held is available on request.