

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

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For calendar year 2019, or tax year beginning 01-01-2019, and ending 12-31-2019

Name of foundation: THE DN BATTEN FOUNDATION C/O SIGNATURE FAMILY WEALTH ADVISORS. A Employer identification number: 54-1864288. B Telephone number: (757) 625-7670. C If exemption application is pending, check here. D 1. Foreign organizations, check here. E If private foundation status was terminated under section 507(b)(1)(A), check here. F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here. H Check type of organization: Section 501(c)(3) exempt private foundation. I Fair market value of all assets at end of year: \$40,607,704. J Accounting method: Cash.

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).)

Table with 5 columns: (a) Revenue and expenses per books, (b) Net investment income, (c) Adjusted net income, (d) Disbursements for charitable purposes. Rows include: 1 Contributions, gifts, grants, etc., received (9,406,773); 2 Check if foundation is not required to attach Sch. B; 3 Interest on savings and temporary cash investments (79); 4 Dividends and interest from securities (843,225); 5a Gross rents; 5b Net rental income or (loss); 6a Net gain or (loss) from sale of assets not on line 10 (3,640,933); 6b Gross sales price for all assets on line 6a (11,529,619); 7 Capital gain net income (from Part IV, line 2) (3,640,933); 8 Net short-term capital gain; 9 Income modifications; 10a Gross sales less returns and allowances; 10b Less: Cost of goods sold; 10c Gross profit or (loss) (attach schedule); 11 Other income (attach schedule) (-45,354); 12 Total. Add lines 1 through 11 (13,845,656); 13 Compensation of officers, directors, trustees, etc. (0); 14 Other employee salaries and wages; 15 Pension plans, employee benefits; 16a Legal fees (attach schedule); 16b Accounting fees (attach schedule) (7,550); 16c Other professional fees (attach schedule) (160,840); 17 Interest (125,753); 18 Taxes (attach schedule) (see instructions) (96,231); 19 Depreciation (attach schedule) and depletion; 20 Occupancy; 21 Travel, conferences, and meetings; 22 Printing and publications; 23 Other expenses (attach schedule) (480,333); 24 Total operating and administrative expenses. Add lines 13 through 23 (870,707); 25 Contributions, gifts, grants paid (5,831,864); 26 Total expenses and disbursements. Add lines 24 and 25 (6,702,571); 27 Subtract line 26 from line 12: a Excess of revenue over expenses and disbursements (7,143,085); b Net investment income (if negative, enter -0-) (3,673,131); c Adjusted net income (if negative, enter -0-).

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing	69,020	63,388	63,388
	2 Savings and temporary cash investments	244,101	4,740,138	4,740,138
	3 Accounts receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	4 Pledges receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U.S. and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)			
	c Investments—corporate bonds (attach schedule)			
	11 Investments—land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)	29,586,053	28,522,488	35,804,178
	14 Land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
15 Other assets (describe ▶ _____)				
16 Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	29,899,174	33,326,014	40,607,704	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue.			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶ _____)			
	23 Total liabilities (add lines 17 through 22)	0	0	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here <input type="checkbox"/> and complete lines 24, 25, 29 and 30.			
	24 Net assets without donor restrictions			
	25 Net assets with donor restrictions			
	Foundations that do not follow FASB ASC 958, check here <input checked="" type="checkbox"/> and complete lines 26 through 30.			
	26 Capital stock, trust principal, or current funds	0	0	
	27 Paid-in or capital surplus, or land, bldg., and equipment fund	0	0	
	28 Retained earnings, accumulated income, endowment, or other funds	29,899,174	33,326,014	
29 Total net assets or fund balances (see instructions)	29,899,174	33,326,014		
30 Total liabilities and net assets/fund balances (see instructions)	29,899,174	33,326,014		

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 29 (must agree with end-of-year figure reported on prior year's return)	1	29,899,174
2 Enter amount from Part I, line 27a	2	7,143,085
3 Other increases not included in line 2 (itemize) ▶ _____	3	0
4 Add lines 1, 2, and 3	4	37,042,259
5 Decreases not included in line 2 (itemize) ▶ _____	5	3,716,245
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29.	6	33,326,014

Part IV Capital Gains and Losses for Tax on Investment Income

Table with 4 columns: (a) List and describe the kind(s) of property sold, (b) How acquired, (c) Date acquired, (d) Date sold. Rows include various assets like SHS TIFF MULTI-ASSET FUND, SHS US TREASURY BILL 19U, etc.

Table with 4 columns: (e) Gross sales price, (f) Depreciation allowed, (g) Cost or other basis plus expense of sale, (h) Gain or (loss) (e) plus (f) minus (g). Rows show calculations for each asset from the previous table.

Table with 4 columns: (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), (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)).

Summary rows for capital gain net income or (net capital loss) and net short-term capital gain or (loss) as defined in sections 1222(5) and (6).

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?

Table with 4 columns: (a) Base period years Calendar year, (b) Adjusted qualifying distributions, (c) Net value of noncharitable-use assets, (d) Distribution ratio. Includes total and average distribution ratio calculations.

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

Table with 11 main rows and sub-rows (a-e) for credits. Includes fields for exempt foundations, domestic foundations, tax under section 511, and tax due. Total tax due is 49.

Part VII-A Statements Regarding Activities

Table with 10 main rows and sub-rows (a-e) regarding activities. Includes questions about political campaigns, political expenditures, and state reporting. Includes Yes/No columns.

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions.				No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions				No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ <u>N/A</u>		Yes		
14	The books are in care of ▶ <u>SIGNATURE FAMILY WEALTH ADVISORS</u> Telephone no. ▶ <u>(757) 625-7670</u> Located at ▶ <u>101 W MAIN STREET SUITE 700 NORFOLK VA</u> ZIP+4 ▶ <u>23510</u>				
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —check here ▶ and enter the amount of tax-exempt interest received or accrued during the year 15				
16	At any time during calendar year 2019, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign		Yes	No	No

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

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

					Yes	No
1a	During the year did the foundation (either directly or indirectly):					
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions Organizations relying on a current notice regarding disaster assistance check here. ▶ <input type="checkbox"/>	1b				
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 2019?	1c				No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):					
a	At the end of tax year 2019, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2019? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ 20____, 20____, 20____, 20____					
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.)	2b				
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ 20____, 20____, 20____, 20____					
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
b	If "Yes," did it have excess business holdings in 2019 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 2019.)	3b				
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a				No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2019?	4b				No

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

- 5a During the year did the foundation pay or incur any amount to:
(1) Carry on propaganda, or otherwise attempt to influence legislation...
(2) Influence the outcome of any specific public election...
(3) Provide a grant to an individual for travel, study, or other similar purposes?
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)?
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes...
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?
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?
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?
b If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction?
8 Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment during the year?

Table with 3 columns: Yes, No, and a blank column. Rows correspond to questions 5b, 6b, 7b, and 8.

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

Table with 5 columns: (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. Includes entries for DOROTHY N BATTEN and FRANK BATTEN JR.

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

Table with 5 columns: (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. First row contains '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
HATCHER CONSULTING LLC 808 BELMONT AVENUE CHARLOTTESVILLE, VA 22902	CONSULTING	67,350

Total number of others receiving over \$50,000 for professional services. **0**

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

	Expenses
1 N/A	0
2	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1	
2	
3 All other program-related investments. See instructions.	

Total. Add lines 1 through 3 **0**

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities.	1a	35,447,829
b	Average of monthly cash balances.	1b	2,029,964
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	37,477,793
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets	2	0
3	Subtract line 2 from line 1d.	3	37,477,793
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	562,167
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	36,915,626
6	Minimum investment return. Enter 5% of line 5.	6	1,845,781

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here and do not complete this part.)

1	Minimum investment return from Part X, line 6.	1	1,845,781
2a	Tax on investment income for 2019 from Part VI, line 5.	2a	73,463
b	Income tax for 2019. (This does not include the tax from Part VI.)	2b	37,809
c	Add lines 2a and 2b.	2c	111,272
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	1,734,509
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	1,734,509
6	Deduction from distributable amount (see instructions).	6	0
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	1,734,509

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	5,831,864
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	5,831,864
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	5,831,864

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 2018	(c) 2018	(d) 2019
1 Distributable amount for 2019 from Part XI, line 7				1,734,509
2 Undistributed income, if any, as of the end of 2019:				
a Enter amount for 2018 only.			0	
b Total for prior years: 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2019:				
a From 2014.				1,753,529
b From 2015.				3,022,752
c From 2016.				1,197,828
d From 2017.				7,575,956
e From 2018.				3,094,757
f Total of lines 3a through e.	16,644,822			
4 Qualifying distributions for 2019 from Part XII, line 4: ▶ \$ <u>5,831,864</u>				
a Applied to 2018, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions).		0		
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2019 distributable amount				1,734,509
e Remaining amount distributed out of corpus	4,097,355			
5 Excess distributions carryover applied to 2019. (If an amount appears in column (d), the same amount must be shown in column (a).)	0			0
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	20,742,177			
b Prior years' undistributed income. Subtract line 4b from line 2b.		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0		
d Subtract line 6c from line 6b. Taxable amount—see instructions.		0		
e Undistributed income for 2018. Subtract line 4a from line 2a. Taxable amount—see instructions.			0	
f Undistributed income for 2019. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions).	0			
8 Excess distributions carryover from 2014 not applied on line 5 or line 7 (see instructions)	1,753,529			
9 Excess distributions carryover to 2020. Subtract lines 7 and 8 from line 6a	18,988,648			
10 Analysis of line 9:				
a Excess from 2015	3,022,752			
b Excess from 2016	1,197,828			
c Excess from 2017.	7,575,956			
d Excess from 2018	3,094,757			
e Excess from 2019	4,097,355			

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

- 1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2019, enter the date of the ruling
b. Check box to indicate whether the organization is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

- 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

Table with 5 columns: (a) 2019, (b) 2018, (c) 2017, (d) 2016, (e) Total. Rows correspond to items 2a-e and 3a-c.

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).)
DOROTHY N BATTEN

Horizontal scroll bar for manager list.

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

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

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

- a The name, address, and telephone number or email address of the person to whom applications should be addressed:
b The form in which applications should be submitted and information and materials they should include:
c Any submission deadlines:
d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors:

Horizontal scroll bar for program information.

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				
AFRICAN WILDLIFE FOUNDATION 1400 16TH STREET NW SUITE 120 WASHINGTON,DC 20036		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	533,864
BIG LIFE FOUNDATION 24010 NE TREEHILL DR WOOD VILLAGE,OR 97060		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	100,000
CHARLOTTESVILLE HIGH SCHOOL FOOTBAL 1400 MELBOURNE RD CHARLOTTESVILLE,VA 22901		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	10,000
CHESAPEAKE BAY FOUNDATION 6 HERNDON AVENUE ANNAPOLIS,MD 21403		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	75,000
EARTHRIGHTS INTERNATIONAL 1612 K STREET NW SUITE 401 WASHINGTON,DC 20006		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	100,000
FOCUSED ULTRASOUND SURGERY FOUNDATI 1230 CEDARS COURT SUITE F CHARLOTTESVILLE,VA 22903		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	500,000
FOREST TRENDS 1203 19TH STREET NW 4TH FLOOR WASHINGTON,DC 20036		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	116,000
HOLLINS UNIVERSITY PO BOX 9629 ROANOKE,VA 24020		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	255,000
HOSPITAL FOR SPECIAL SURGERY 535 EAST 70TH STREET NEW YORK,NY 10021		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	2,000
MONROE INSTITUTE 365 ROBERTS MOUNTAIN RD FABER,VA 22938		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	10,000
NATIONAL GEOGRAPHIC SOCIETY 1145 17TH STREET NW WASHINGTON,DC 20036		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	5,000
NATURAL RESOURCES DEFENSE COUNCIL 40 WEST 20TH STREET NEW YORK,NY 10011		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	5,000
NORFOLK ACADEMY 1585 WESLEYAN DRIVE NORFOLK,VA 23502		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	5,000
PEABODY SCHOOL 1232 STONEY RIDGE ROAD CHARLOTTESVILLE,VA 22902		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	5,000
PVCC EDUCATIONAL FOUNDATION 501 COLLEGE DR CHARLOTTESVILLE,VA 22902		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	300,000
RARE INC 1310 N COURTHOUSE ROAD SUITE 110 ARLINGTON,VA 22201		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	2,000,000
UNITED STATES NAVAL ACADEMY FOUNDAT 247 KING GEORGE ST ANNAPOLIS,MD 21402		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	620,000
WILDLIFE CONSERVATION SOCIETY 2300 SOUTHERN BOULEVARD BRONX,NY 10460		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	1,150,000
FOUNTAIN FUND 233 4TH STREET NW CHARLOTTESVILLE,VA 22903		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	30,000
PLANNED PARENTHOOD 2964 HYDRAULIC RD CHARLOTTESVILLE,VA 22901		501(C)(3)	TO PROVIDE FINANCIAL SUPPORT	10,000
Total			3a	5,831,864
b Approved for future payment				
Total			3b	0

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

1 Program service revenue:

- a
b
c
d
e
f

g Fees and contracts from government agencies

2 Membership dues and assessments.

3 Interest on savings and temporary cash investments

4 Dividends and interest from securities

5 Net rental income or (loss) from real estate:

- a Debt-financed property.
b Not debt-financed property.

6 Net rental income or (loss) from personal property

7 Other investment income.

8 Gain or (loss) from sales of assets other than inventory

9 Net income or (loss) from special events:

10 Gross profit or (loss) from sales of inventory

11 Other revenue:

- a FEDERAL EXCISE TAX REFUND
b STATE EXCISE TAX REFUND
c SFM GLOBAL STRATEGIES QP, LP - UBTI
d SFM CAPITAL MARKETS, LP - UBTI
e RCH ENERGY MLP FUND, LP - UBTI
f DNB OPPORTUNITIES, LP - UBTI
g YIELD POOL, LP - UBTI
h DNB OPPORTUNITIES II, LP - UBTI
i SFM CAPITAL MARKETS, LP
j SFM GLOBAL STRATEGIES QP, LP
k YIELD POOL, LP
l DNB OPPORTUNITIES, LP
m DNB OPPORTUNITIES II, LP
n THE MELOY FUND I, LP
o DNB OPPORTUNITIES III, LP
p DNB OPPORTUNITIES III, LP
q RCH ENERGY MLP FUND, LP
r LCP FORSYTH BOULEVARD JV, LLC - UBTI
s LCP FORSYTH BOULEVARD JV, LLC

12 Subtotal. Add columns (b), (d), and (e).

13 Total. Add line 12, columns (b), (d), and (e).

Table with 5 columns: (a) Business code, (b) Amount, (c) Exclusion code, (d) Amount, (e) Related or exempt function income. Rows include various revenue categories and their corresponding amounts and exclusion codes.

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

Table with 2 columns: 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.

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Form 990PF - Special Condition Description:

Special Condition Description

Name of the organization THE DN BATTEN FOUNDATION C/O SIGNATURE FAMILY WEALTH ADVISORS	Employer identification number 54-1864288
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Organization type (check one):

- | | |
|--------------------|---|
| Filers of: | Section: |
| Form 990 or 990-EZ | <input type="checkbox"/> 501(c)() (enter number) organization |
| | <input type="checkbox"/> 4947(a)(1) nonexempt charitable trust not treated as a private foundation |
| | <input type="checkbox"/> 527 political organization |
| Form 990-PF | <input checked="" type="checkbox"/> 501(c)(3) exempt private foundation |
| | <input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation |
| | <input type="checkbox"/> 501(c)(3) taxable private foundation |

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

General Rule

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

Special Rules

- For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ▶ \$ _____

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

Name of organization
 THE DN BATTEN FOUNDATION
 C/O SIGNATURE FAMILY WEALTH ADVISORS

Employer identification number
 54-1864288

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	DOROTHY N BATTEN <hr/> 1203 HILLTOP ROAD <hr/> CHARLOTTESVILLE, VA 22903	<hr/> \$ 9,406,773	<input checked="" type="checkbox"/> Person <input type="checkbox"/> Payroll <input checked="" type="checkbox"/> Noncash (Complete Part II for noncash contributions.)
-	<hr/> <hr/> <hr/>	<hr/> \$	<input type="checkbox"/> Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash (Complete Part II for noncash contributions.)
-	<hr/> <hr/> <hr/>	<hr/> \$	<input type="checkbox"/> Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash (Complete Part II for noncash contributions.)
-	<hr/> <hr/> <hr/>	<hr/> \$	<input type="checkbox"/> Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash (Complete Part II for noncash contributions.)
-	<hr/> <hr/> <hr/>	<hr/> \$	<input type="checkbox"/> Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash (Complete Part II for noncash contributions.)
-	<hr/> <hr/> <hr/>	<hr/> \$	<input type="checkbox"/> Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash (Complete Part II for noncash contributions.)

Name of organization
 THE DN BATTEN FOUNDATION
 C/O SIGNATURE FAMILY WEALTH ADVISORS

Employer identification number
 54-1864288

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

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
1	<u>MULTIPLE SHARES OF VARIOUS SECURITIES - SEE EXHIBIT B FOR DETAILS</u>	<u>\$ 1,524,796</u>	<u>2019-01-23</u>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
1	<u>MULTIPLE SHARES OF VARIOUS SECURITIES - SEE EXHIBIT C FOR DETAILS</u>	<u>\$ 2,192,378</u>	<u>2019-03-26</u>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
1	<u>MULTIPLE SHARES OF VARIOUS SECURITIES - SEE EXHIBIT D FOR DETAILS</u>	<u>\$ 2,058,089</u>	<u>2019-06-27</u>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
1	<u>MULTIPLE SHARES OF VARIOUS SECURITIES - SEE EXHIBIT E FOR DETAILS</u>	<u>\$ 3,631,509</u>	<u>2019-12-10</u>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
-	_____ _____ _____	_____ \$	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
-	_____ _____ _____	_____ \$	_____

Name of organization THE DN BATTEN FOUNDATION C/O SIGNATURE FAMILY WEALTH ADVISORS	Employer identification number 54-1864288
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Part III Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once. See instructions.) ▶ \$ _____

Use duplicate copies of Part III if additional space is needed.

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

Additional Data

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TY 2019 IRS 990 e-File Render

Name: THE DN BATTEN FOUNDATION
C/O SIGNATURE FAMILY WEALTH ADVISORS

EIN: 54-1864288

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	7,550	7,550		0

TY 2019 IRS 990 e-File Render

Name: THE DN BATTEN FOUNDATION
C/O SIGNATURE FAMILY WEALTH ADVISORS
EIN: 54-1864288

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
MUTUAL FUNDS/OTHER SECURITIES	AT COST	5,962,829	7,041,354
TIFF	AT COST	4,428,617	4,439,372
SFM CAPITAL MARKETS, LP	AT COST	7,846,241	10,660,199
YIELD POOL, LP	AT COST	176,047	224,210
SFM GLOBAL STRATEGIES QP, LP	AT COST	6,119,751	8,428,150
DNB OPPORTUNITIES, LP	AT COST	1,277,077	1,687,895
HGI SF KFB, LLC	AT COST	204,568	205,925
HGI SF K30, LLC	AT COST	399,393	402,286
HGI SF K34, LLC	AT COST	352,526	350,989
MELOY FUND I, LP	AT COST	98,827	83,799
DNB OPPORTUNITIES II, LP	AT COST	990,338	1,355,058
DNB OPPORTUNITIES III, LP	AT COST	102,452	99,941
LCP FORSYTH	AT COST	563,822	825,000

TY 2019 IRS 990 e-File Render

Name: THE DN BATTEN FOUNDATION
C/O SIGNATURE FAMILY WEALTH ADVISORS

EIN: 54-1864288

Description	Amount
DIFFERENCE IN TAX BASIS VS. FMV ON CONTRIBUTION	3,716,245

TY 2019 IRS 990 e-File Render

Name: THE DN BATTEN FOUNDATION
C/O SIGNATURE FAMILY WEALTH ADVISORS
EIN: 54-1864288

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
REGISTRATION FEE	25	25		0
OFFICE EXPENSES	1,222	1,222		0
MEMBERSHIP DUES	6,652	6,652		0
INSURANCE	2,060	2,060		0
RENT/PARKING	27,045	27,045		0
MISCELLANEOUS	797	797		0
SFM CAPITAL MARKETS, LP	90,540	90,118		0
SFM GLOBAL STRATEGIES QP, LP	169,497	169,465		0
YIELD POOL, LP	13,884	13,764		0
DNB OPPORTUNITIES, LP	43,683	42,891		0
RCH ENERGY MLP FUND, LP	237	237		0
HGI SF KFB, LLC	3,400	3,400		0
HGI SF K30, LLC	5,006	5,006		0
HGI SF K34, LLC	3,520	3,520		0
MELOY FUND I,LP	16,607	16,607		0
DNB OPPORTUNITIES II, LP	43,135	43,088		0
BANK FEES	47	47		0
WEBSITE	5,020	5,020		0
TRAVEL & MEDIA	13,276	13,276		0
LCP FORSYTH BOULEVARD JV, LLC	27,506	27,506		0
DNB OPPORTUNITIES III, LP	7,144	7,144		0
WIRE FEES	30	30		0

TY 2019 IRS 990 e-File Render**Name:** THE DN BATTEN FOUNDATION

C/O SIGNATURE FAMILY WEALTH ADVISORS

EIN: 54-1864288

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
FEDERAL EXCISE TAX REFUND	27,212		27,212
STATE EXCISE TAX REFUND	9,002		9,002
SFM GLOBAL STRATEGIES QP, LP - UBTI	43,407	0	43,407
SFM CAPITAL MARKETS, LP - UBTI	48,039	0	48,039
RCH ENERGY MLP FUND, LP - UBTI	-1,099	0	-1,099
DNB OPPORTUNITIES, LP - UBTI	-56,234	0	-56,234
YIELD POOL, LP - UBTI	1	0	1
DNB OPPORTUNITIES II, LP - UBTI	-21,805	0	-21,805
SFM CAPITAL MARKETS, LP	81,596	81,596	81,596
SFM GLOBAL STRATEGIES QP, LP	-9,610	-9,610	-9,610
YIELD POOL, LP	-2,014	-2,014	-2,014
DNB OPPORTUNITIES, LP	2,166	2,166	2,166
DNB OPPORTUNITIES II, LP	-1,746	-1,746	-1,746
THE MELOY FUND I, LP	1,964	1,964	1,964
DNB OPPORTUNITIES III, LP	-332	0	-332
DNB OPPORTUNITIES III, LP	44	44	44
RCH ENERGY MLP FUND, LP	328	328	328
LCP FORSYTH BOULEVARD JV, LLC - UBTI	-131,900	0	-131,900
LCP FORSYTH BOULEVARD JV, LLC	-34,373	-34,373	-34,373

TY 2019 IRS 990 e-File Render

Name: THE DN BATTEN FOUNDATION
C/O SIGNATURE FAMILY WEALTH ADVISORS

EIN: 54-1864288

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MGMT FEES ON TAXABLE INCOME	64,250	64,250		0
MGMT FEES ON TAX-EXEMPT INCOME	2,840	0		0
CONSULTANT FEES	93,750	93,750		0

TY 2019 IRS 990 e-File Render

Name: THE DN BATTEN FOUNDATION
C/O SIGNATURE FAMILY WEALTH ADVISORS

EIN: 54-1864288

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL TAXES	67,646	0		0
STATE TAXES	9,752	0		0
FOREIGN TAXES - SFM CAPITAL MARKETS, LP	12,170	12,170		0
FOREIGN TAXES - SFM GLOBAL STRATEGIES QP, LP	937	937		0
FOREIGN TAXES - SCHWAB	5,328	5,328		0
FOREIGN TAXES - DNB OPPORTUNITIES, LP	365	365		0
FOREIGN TAXES - DNB OPPORTUNITIES II, LP	33	33		0