

For calendar year 2020, or tax year beginning 01-01-2020 , and ending 12-31-2020

Name of foundation The Charles A Dana Foundation Incorporated		A Employer identification number 06-6036761
Number and street (or P.O. box number if mail is not delivered to street address) 10 Rockefeller Plaza Room 16th Fl	Room/suite	B Telephone number (see instructions) (212) 223-4040
City or town, state or province, country, and ZIP or foreign postal code New York, NY 10020		C If exemption application is pending, check here ☐
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) \$ <u>248,257,333</u>	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				
	4 Dividends and interest from securities	698,836	698,836		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10 	7,415,973			
	b Gross sales price for all assets on line 6a <u>56,812,233</u>				
	7 Capital gain net income (from Part IV, line 2)		7,415,973		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances _____				
Operating and Administrative Expenses	b Less: Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule) 	12,655,038	11,162,177		
	12 Total. Add lines 1 through 11	20,769,847	19,276,986		
	13 Compensation of officers, directors, trustees, etc.	545,706	57,571		488,135
	14 Other employee salaries and wages	1,482,779	77,720		1,405,059
	15 Pension plans, employee benefits	-175,054	48,688		888,276
	16a Legal fees (attach schedule) 	44,361			44,361
	b Accounting fees (attach schedule) 	60,271	24,108		36,163
	c Other professional fees (attach schedule) 	927,579	612,298		315,281
	17 Interest				
	18 Taxes (attach schedule) (see instructions) 	377,808			
	19 Depreciation (attach schedule) and depletion 	39,874	3,987		
	20 Occupancy	853,674	85,367		837,429
	21 Travel, conferences, and meetings	9,138			9,138
	22 Printing and publications	48,580			48,580
	23 Other expenses (attach schedule) 	267,742	26,774		153,367
	24 Total operating and administrative expenses. Add lines 13 through 23	4,482,458	936,513		4,225,789
	25 Contributions, gifts, grants paid	5,078,103			6,226,156
	26 Total expenses and disbursements. Add lines 24 and 25	9,560,561	936,513		10,451,945
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	11,209,286			
	b Net investment income (if negative, enter -0-)		18,340,473		
	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		5,850,479	14,891,493	14,891,493
	2	Savings and temporary cash investments				
	3	Accounts receivable ▶ <u>5,692</u>				
		Less: allowance for doubtful accounts ▶ _____		1,253	5,692	5,692
	4	Pledges receivable ▶ _____				
		Less: allowance for doubtful accounts ▶ _____				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7	Other notes and loans receivable (attach schedule) ▶ _____				
		Less: allowance for doubtful accounts ▶ _____				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10a	Investments—U.S. and state government obligations (attach schedule)				
	b	Investments—corporate stock (attach schedule)		52,351,113	29,778,341	29,778,341
	c	Investments—corporate bonds (attach schedule)				
	11	Investments—land, buildings, and equipment: basis ▶ _____				
Liabilities		Less: accumulated depreciation (attach schedule) ▶ _____				
	12	Investments—mortgage loans				
	13	Investments—other (attach schedule)		173,457,457	203,175,303	203,175,303
	14	Land, buildings, and equipment: basis ▶ <u>410,438</u>				
		Less: accumulated depreciation (attach schedule) ▶ <u>353,860</u>		56,578	16,704	16,704
	15	Other assets (describe ▶ _____)		541,585	389,800	389,800
	16	Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)		232,258,465	248,257,333	248,257,333
	17	Accounts payable and accrued expenses		235,079	273,083	
	18	Grants payable		3,331,054	2,183,001	
	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 ▶ _____)		5,350,818	4,391,718	
	23	Total liabilities (add lines 17 through 22).		8,916,951	6,847,802	
Net Assets or Fund Balances		Foundations that follow FASB ASC 958, check here ▶ ☒ and complete lines 24, 25, 29 and 30.				
	24	Net assets without donor restrictions		223,341,514	241,409,531	
	25	Net assets with donor restrictions				
		Foundations that do not follow FASB ASC 958, check here ▶ ☐ and complete lines 26 through 30.				
	26	Capital stock, trust principal, or current funds				
	27	Paid-in or capital surplus, or land, bldg., and equipment fund				
	28	Retained earnings, accumulated income, endowment, or other funds				
	29	Total net assets or fund balances (see instructions)		223,341,514	241,409,531	
	30	Total liabilities and net assets/fund balances (see instructions)		232,258,465	248,257,333	

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	223,341,514
2	Enter amount from Part I, line 27a	2	11,209,286
3	Other increases not included in line 2 (itemize) ▶ _____	3	7,008,731
4	Add lines 1, 2, and 3	4	241,559,531
5	Decreases not included in line 2 (itemize) ▶ _____	5	150,000
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29.	6	241,409,531

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.)
1 a Priince Street Opp Liquidation	P		
b Prince Street Inst Liquidation	P		
c Wellington Fund Liquidation	P		
d King Street Liquidation	P		
e Harvest MLP Liquidation	P		
TIFF III Liquidation	P		
Vanguard Emerging Markets	P		
Osterweiss Fund	P		
Vanguard Short Term Treas Fund	P		
Eagle Mng Acct	P		
Harvest MLP Liquidation	P		
Misc	P		

(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 347,634			347,634
b 159,922			159,922
c 6,733,777		4,896,869	1,836,908
d 7,020,829		5,000,000	2,020,829
e 139,053			139,053
11,600			11,600
4,672,021		5,301,734	-629,713
4,900,409		5,417,247	-516,838
18,000,000		17,386,743	613,257
10,956,165		7,915,518	3,040,647
3,474,770		3,477,449	-2,679
		700	-700

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			347,634
b			159,922
c			1,836,908
d			2,020,829
e			139,053
			11,600
			-629,713
			-516,838
			613,257
			3,040,647
			-2,679
			-700

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	7,415,973
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	

Part V

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

SECTION 4940(e) REPEALED ON DECEMBER 20, 2019 - DO NOT COMPLETE

1 Reserved	(a) Reserved	(b) Reserved	(c) Reserved	(d) Reserved
2 Reserved				2
3 Reserved.				3
4 Reserved				4
5 Reserved				5
6 Reserved				6
7 Reserved				7
8 Reserved				8

Part VII

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	Reserved	1	254,933
c	All other domestic foundations enter 1.39% 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	254,933
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-.	5	254,933
6	Credits/Payments:		
a	2020 estimated tax payments and 2019 overpayment credited to 2020	6a	260,240
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	260,240
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	5,307
11	Enter the amount of line 10 to be: Credited to 2021 estimated tax Refunded	11	5,307

Part VII-A

Statements Regarding Activities

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		Yes	No
1a				No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? (see Instructions for definition).			No
	<i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>			
1c				No
c	Did the foundation file Form 1120-POL for this year?			No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ☐ \$ _____ (2) On foundation managers. ☐ \$ _____			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ☐ \$ _____			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS?	2		No
	<i>If "Yes," attach a detailed description of the activities.</i>			
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	3		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a	Yes	
b	If "Yes," has it filed a tax return on Form 990-T for this year?	4b	Yes	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year?	5		No
	<i>If "Yes," attach the statement required by General Instruction T.</i>			
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		No
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ☐ CT, MD, NY			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation</i>	8b		
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 2020 or the taxable year beginning in 2020? See the instructions for Part XIV. <i>If "Yes," complete Part XIV</i>	9		No
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	10		No

Part VII-A

Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions.	11	Yes	
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address www.dana.org	13	Yes	
14	The books are in care of Burton M Mirsky Telephone no. (212) 223-4040 Located at 10 Rockefeller Plaza 16th Fl New York NY 10020 ZIP+4 			
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 2020, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
	See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign			

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☒ Yes ☐ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
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		No
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 2020? ☐	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 2020, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2020? ☐ Yes ☒ No If "Yes," list the years 20 , 20 , 20 , 20			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.)	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. 20 , 20 , 20 , 20			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2020 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 2020.)	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 2020?	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 (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

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

c

If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

☒ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945–5(d).

6a

Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b

Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

☐ Yes ☒ No

If "Yes" to 6b, file Form 8870.

7a

At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b

If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction?

☐ Yes ☒ No

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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?

☐ Yes ☒ No

Yes

No

5b

No

6b

No

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
Steven E Hyman	Chairman 002.00	6,000		
10 Rockefeller Plaza 16th Fl New York, NY 10020				
Burton M Mirsky	President 026.00	460,281	70,937	
10 Rockefeller Plaza 16th Fl New York, NY 10020				
Barbara E Gill	Exec VP 003.00	37,425	9,225	
10 Rockefeller Plaza 16th Fl New York, NY 10020				
Charles A Dana III	Director 002.00	6,000	360	
10 Rockefeller Plaza 16th Fl New York, NY 10020				
Edward Blier	Director 002.00	6,000	945	
10 Rockefeller Plaza 16th Fl New York, NY 10020				
Wallace Cook	Secretary Director 002.00	6,000	745	
10 Rockefeller Plaza 16th Fl New York, NY 10020				
Hildegarde Mahoney	Director 002.00	6,000		
10 Rockefeller Plaza 16th Fl New York, NY 10020				
Ann McLaughlin Korologus	Director 002.00	6,000	1,105	
10 Rockefeller Plaza 16th Fl New York, NY 10020				
Herbert J Siegel	Director 002.00	6,000	235	
10 Rockefeller Plaza 16th Fl New York, NY 10020				
Peter Nadosy	Director 002.00	6,000		
10 Rockefeller Plaza 16th Fl New York, NY 10020				

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
Carolyn Asbury	Snr Consultant 035.00	213,900	44,023	
10 Rockefeller Plaza 16th Fl New York, NY 10020				
James Rutt	CIO 024.00	195,245	81,664	
10 Rockefeller Plaza 16th Fl New York, NY 10020				
Mary Lucas	Grants Mgr 035.00	121,000	46,521	
10 Rockefeller Plaza 16th Fl New York, NY 10020				
Steven Protass	Finc Analyst 032.00	97,275	48,046	
10 Rockefeller Plaza 16th Fl New York, NY 10020				
Patricia Mangini	Dir HR 032.00	93,000	43,360	
10 Rockefeller Plaza 16th Fl New York, NY 10020				

Total

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

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Form 990-PF (2020)

Part VIII

Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
Cambridge Assoc	Investment Advice	302,812
125 High Street Boston, MA 021102112		
Eagle Management Advisors	Investment Management	180,369
700 Commodore Court Unit 2728 Philadelphia, PA 19146		
Spencer Stuart	Personnel Search	133,607
272 Park Ave 32nd Fl NY, NY 10172		
Wellington Trust Company	Investment Management	81,912
280 Congress Street Boston, MA 02210		

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

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 GRANTS ADMINISTRATION (see attached statement)	2,043,470
2 OUTREACH (see attached statement)	1,163,002
3 WEBSITE (see attached statement)	1,019,317
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	

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	63,330,162
b	Average of monthly cash balances.	1b	10,499,036
c	Fair market value of all other assets (see instructions).	1c	158,471,120
d	Total (add lines 1a, b, and c).	1d	232,300,318
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	232,300,318
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	3,484,505
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	228,815,813
6	Minimum investment return. Enter 5% of line 5.	6	11,440,791

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

1	Minimum investment return from Part X, line 6.	1	11,440,791
2a	Tax on investment income for 2020 from Part VI, line 5.	2a	254,933
b	Income tax for 2020. (This does not include the tax from Part VI.)	2b	12,743
c	Add lines 2a and 2b.	2c	267,676
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	11,173,115
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	11,173,115
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	11,173,115

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	10,451,945
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	10,451,945
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions.	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	10,451,945

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 2019	(c) 2019	(d) 2020
1 Distributable amount for 2020 from Part XI, line 7				11,173,115
2 Undistributed income, if any, as of the end of 2020:				
a Enter amount for 2019 only.				
b Total for prior years: 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2020:				
a From 2015.	2,809,543			
b From 2016.	2,405,195			
c From 2017.	1,937,388			
d From 2018.	2,923,051			
e From 2019.	792,285			
f Total of lines 3a through e.	10,867,462			
4 Qualifying distributions for 2020 from Part XII, line 4: ► \$ 10,451,945				
a Applied to 2019, 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 2020 distributable amount				10,451,945
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2020. (If an amount appears in column (d), the same amount must be shown in column (a).)	721,170			721,170
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	10,146,292			
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 2019. Subtract line 4a from line 2a. Taxable amount—see instructions.				
f Undistributed income for 2021. 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).				
8 Excess distributions carryover from 2015 not applied on line 5 or line 7 (see instructions)	2,088,373			
9 Excess distributions carryover to 2021. Subtract lines 7 and 8 from line 6a	8,057,919			
10 Analysis of line 9:				
a Excess from 2016	2,405,195			
b Excess from 2017	1,937,388			
c Excess from 2018.	2,923,051			
d Excess from 2019	792,285			
e Excess from 2020				

Part XIV

a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2020, 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)

a 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

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.)

Information Regarding Foundation Managers:

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

None

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

None

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 e-mail address of the person to whom applications should be addressed:

Celina Sooksatan
10 Rockefeller Plaza
New York, NY 10020
(212) 223-4040
csooksatandana.org

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

A letter, fully describing the proposed request, including the proposed funding.

c Any submission deadlines:

None

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

Grants are generally made under the Fndns neuroscience and society programs and Director grant rules. Recipients must be qualified orgs under the US tax laws.

Part IV

Supplementary Information (continued)

3

Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Baylor College of Medicine Available Upon Request Houston, TX 77041		P C	Research	150,322
Alvin Ailey American Dance Theatre Available Upon Request New York, NY 10020		P C	Support	2,500
Amer Acad of Arts & Sciences Available Upon Request Cambridge, MA 02114		P C	Support	10,000
American Repertory Theater Available Upon Request Cambridge, MA 02114		P C	Support	25,000
Anderson Ranch Arts Center Available Upon Request Snowmass Village, CO 81611		P C	Support	20,000
Animal Medical Center Available Upon Request New York, NY 10020		P C	Support	25,000
Art Base Available Upon Request Basalt, CO 81611		P C	Support	5,000
Arts Campus at Willits Available Upon Request Basalt, CO 81611		P C	Support	25,000
ASPCA Available Upon Request New York, NY 10020		P C	Support	25,000
Aspen Music Festival and School Available Upon Request Aspen, CO 81611		P C	Support	15,000
Frontotemporal Degeneration Available Upon Request King of Prussia, PA 19400		P C	Support	10,000
Bath & Tennis Historic Pres Fnd Available Upon Request Palm Beach, FL 33480		P O F	Support	1,000
Bay Street Theater Available Upon Request Sag Harbor, NY 10020		P C	Support	2,500
Boys' Club of New York Available Upon Request New York, NY 10020		P C	Support	5,000
Boys & Girls Club of PB County Available Upon Request West Palm Beach, FL 33480		P C	Support	15,000
Breast Cancer Research Fnd Inc Available Upon Request New York, NY 10020		P C	Support	110,000
Bridgehampton Chamber Music Available Upon Request New York, NY 10020		P C	Support	2,500
Brunswick School Available Upon Request Greenwich, CT 06870		P C	Support	35,000
Cambridge in America Available Upon Request New York, NY 10020		P C	Support	25,000
Central Park Conservancy Available Upon Request New York, NY 10020		P C	Support	5,000
Citizens Committee for NYC Available Upon Request New York, NY 10020		P C	Support	5,000
Cold Spring Harbor Laboratory Available Upon Request Cold Spring Harbor, NY 10020		P C	Support	5,000
Colorado Mountain College Available Upon Request Glenwood Springs, CO 81611		P C	Support	25,000
Columbia Business School Available Upon Request New York, NY 10020		P C	Support	5,000
Columbia-Dep of Ophthalmology Available Upon Request New York, NY 10020		P C	Support	5,000
Comin Fnd for PB and Martin Cont Available Upon Request Palm Beach, FL 33480		P C	Support	2,500
Concord Museum Available Upon Request Concord, MA 02114		P C	Support	5,000
Cooper Union Available Upon Request New York, NY 10020		P C	Support	5,000
Dana-Farber Cancer Institute Available Upon Request Boston, MA 02114		P C	Support	5,000
Dancesport Academy Inc Available Upon Request West Palm Beach, FL 33480		P C	Support	5,500
Dartmouth College Available Upon Request Hanover, NH 03748		P C	Support	5,000
E Hampton Healthcare Fnd Available Upon Request East Hampton, NY 10020		P C	Support	5,000
Foundation Milanollo Available Upon Request Lausanne SZ			Support	5,000
Friends Academy Available Upon Request Locust Valley, NY 10020		P C	Support	5,000
Friends of St Francis Xavier U Available Upon Request Belmont, MA 02114		P C	Support	25,000
Greenwich Academy Available Upon Request Greenwich, CT 06870		P C	Support	30,000
Guild Hall of East Hampton Available Upon Request East Hampton, NY 10020		P C	Support	5,000
Harlem Academy Available Upon Request New York, NY 10020		P C	Support	30,000
Harvard Art Museum Available Upon Request Cambridge, MA 02114		P C	Support	25,000
Harvard-Mahoney Neuroscience Available Upon Request Boston, MA 02114		P C	Support	10,000
Harvard Scholars at Risk Available Upon Request Cambridge, MA 02114		P C	Support	25,000
Hospice Fnd of PB County Inc Available Upon Request Palm Beach, FL 33480		P C	Support	10,000
Intl Sephardic Education Fnd Available Upon Request New York, NY 10020		P O F	Support	2,500
IYRS Sch of Tech and Trades Available Upon Request Newport, RI 02840		P C	Support	10,000
Weill Med College of Cornell Univ Available Upon Request New York, NY 10020		P C	Support	5,000
Lincoln Center Theater Available Upon Request New York, NY 10020		P C	Support	7,500
Martha Graham Dance Company Available Upon Request New York, NY 10020		P C	Support	2,500
Massachusetts General Hospital Available Upon Request Boston, MA 02114		P C	Support	10,000
Mayo Clinic Available Upon Request Rochester, NY 10020		P C	Support	30,000
Middlebury College Available Upon Request Middlebury, VT 05753		P C	Support	5,000
MEII Available Upon Request Washington, DC 20001		P C	Support	35,000
Museum of Jewish Heritage Available Upon Request New York, NY 10020		P C	Support	5,000
National Academy of Medicine Available Upon Request Washington, DC 20001		P C	Support	15,000
Newport Hospital Foundation Inc Available Upon Request Newport, RI 02840		P C	Support	50,000
Weill Cornell Medical Center Available Upon Request New York, NY 10020		P C	Support	5,000
New York Presbyterian Hospital Available Upon Request New York, NY 10020		P C	Support	30,000
New York Stem Cell Foundation Available Upon Request New York, NY 10020		P O F	Support	10,000
Palm Beach Civic Association Available Upon Request Palm Beach, FL 33480		P C	Support	6,000
Palm Beach Police Foundation Inc Available Upon Request Palm Beach, FL 33480		P C	Support	5,000
Pardee Rand Graduate School Available Upon Request Santa Monica, CA 90291		P C	Support	25,000
Penland School of Crafts Available Upon Request Penland, NC 28765		P C	Support	20,000
Public Theater Available Upon Request New York, NY 10020		P C	Support	5,000
Kravis Ctr for the Performing Arts Available Upon Request West Palm Beach, FL 33480		P C	Support	5,000
Rehab Ctr for Children and Adults Available Upon Request Palm Beach, FL 33480		P C	Support	3,000
Reagan Presidential Fnd Available Upon Request Simi Valley, CA 90291		P O F	Support	10,000
Rose Island Lighthouse Foundation Available Upon Request Newport, RI 02840		P O F	Support	5,000
Rosemont College Available Upon Request Rosemeont, PA 19010		P C	Support	5,000
Roxbury Latin School Available Upon Request West Roxbury, MA 02114		P C	Support	25,000
Sail Newport Available Upon Request Newport, RI 02840		P C	Support	10,000
Shinnecock Hills Education Fund Available Upon Request Southampton, NY 10020		P C	Support	15,000
Silvercrest Ctr- Nursing & Rehab Available Upon Request Briarwood, NY 10020		P C	Support	5,000
Southampton Fresh Air Home Available Upon Request Southampton, NY 10020		P C	Support	5,000
Southampton Hospital Available Upon Request Southampton, NY 10020		P C	Support	10,000
St Andrew's Preservation Fnd Available Upon Request Southampton, NY 10020		P O F	Support	10,000
St George's School Available Upon Request Newport, RI 02840		P C	Support	50,000
St Michael's Country Day School Available Upon Request Newport, RI 02840		P C	Support	50,000
St Thomas More Play Group Available Upon Request New York, NY 10020		P C	Support	10,000
Syracuse- Newhouse Sch of Comm Available Upon Request Syracuse, NY 10020		P C	Support	25,000
The Aspen Institute Available Upon Request Washington, DC 20001		P C	Support	15,000
The Bone Marrow Foundation Inc Available Upon Request New York, NY 10020		P O F	Support	10,000
The Brearley School Available Upon Request New York, NY 10020		P C	Support	40,000
The City College of New York Available Upon Request New York, NY 10020		P C	Support	7,500
The Corning Museum of Glass Available Upon Request Corning, NY 10020		P C	Support	20,000
The Council on Foreign Relations Available Upon Request New York, NY 10020		P C	Support	25,000
The Hotchkiss School Available Upon Request Salisbury, CT 06870		P C	Support	5,000
The Nature Conservancy Available Upon Request New York, NY 10020		P C	Support	50,000
The Reading Team Inc Available Upon Request New York, NY 10020		P C	Support	150,000
The Society of the Four Arts Available Upon Request Palm Beach, FL 33480		P C	Support	10,000
The Winsor School Available Upon Request Boston, MA 02114		P C	Support	25,000
UJA Available Upon Request New York, NY 10020		P C	Support	25,000
University of Virginia Available Upon Request Charlottesville, VA 22901		P C	Support	25,000
University of Virginia School of Law Available Upon Request Charlottesville, VA 22901		P C	Support	25,000
UrbanGlass Available Upon Request Brooklyn, NY 10020		P C	Support	20,000
Wheaton Arts and Cultural Center Available Upon Request Millville, NJ 08332		P C	Support	20,000
Williams College Available Upon Request Williamstown, MA 02114		P C	Support	5,000
92nd Street Y Available Upon Request New York, NY 10020		P C	Support	1,500
Brooklyn Community Bail Fund Available Upon Request Brooklyn, NY 10020		P C	Support	4,400
Wang Comm Health Center Available Upon Request New York, NY 10020		P C	Support	600
CHS North American Foundation Available Upon Request New York, NY 10020		P O F	Support	8,100
Cincinnati Shakespeare Company Available Upon Request Cincinnati, OH 45201		P C	Support	668
GBS CIDP Available Upon Request Conshohocken, PA 19428		P C	Support	2,000
Gilda's Club Westchester Available Upon Request White Plains, NY 10020		P C	Support	3,000
Johns Hopkins- Sch of Pub Health Available Upon Request Baltimore, MD 21201		P C	Support	1,000
Louis Armstrong House Museum Available Upon Request Corona, NY 10020		P C	Support	500
Lupis Research Alliance Available Upon Request New York, NY 10020		P C	Support	5,000
Museum of Arts and Design Available Upon Request New York, NY 10020		P C	Support	2,000
MS Society NYC Southern NY Available Upon Request New York, NY 10020		P C	Support	5,000
Newport Festivals Foundation Inc Available Upon Request Essex, MA 02114		P O F	Support	1,500
Northern Light Blue Hill Hospl Fnd Available Upon Request Blue Hill, ME 04614		P O F	support	3,000
NQAPIA Available Upon Request New York, NY 10020		P C	Support	7,600
Philabundance Available Upon Request Philadelphia, PA 19019		P C	Support	600
Philadelphia Orchestra Available Upon Request Philadelphia, PA 19019		P C	Support	2,000
Play on Philly Available Upon Request Philadelphia, PA 19019		P C	Support	334
Riverside Park Conservancy Available Upon Request New York, NY 10020		P C	Support	1,000
Rockland Community Foundation Available Upon Request New York, NY 10020		P O F	Support	1,000
Social Good Fund Available Upon Request Richmond, CA 94530		P C	Support	6,190
St Claire of Assisi Church Available Upon Request Bronx, NY 10020		P C	Support	1,406
The Bradley School Available Upon Request New York, NY 10020		P C	Support	500
College of Physicians of Phila Available Upon Request Philadelphia, PA 19019		P C	Support	3,334
Intl Myeloma Foundation Available Upon Request North Hollywood, CA 94530		P O F	Support	1,000
The Wetlands Institute Available Upon Request Stone Harbor, NJ 08247		P C	Support	200
American Brain Coalition Available Upon Request Maple Grove, MN 55311		P C	Research	10,000
Amer Museum of Natural History Available Upon Request New York, NY 10020		P C	Support	5,000
BioBus Available Upon Request New York, NY 10020		P C	Support	4,000
BAW Available Upon Request New York, NY 10020		P C	Research	73,000
Brain Mind EYOL Available Upon Request Watertown, MA 02114		P C	Research	35,000
Brooklyn Botanical Garden Available Upon Request Brooklyn, NY 10020		P C	Support	2,500
FENS Available Upon Request D Berlin GM			Support	35,000
Frick Collection Available Upon Request New York, NY 10020		P C	Support	5,000
IBRO, Internl Brain Research Org Available Upon Request Paris FR			Research	35,000
International Brain Bee Available Upon Request Washington, DC 20001		P C	Support	75,000
International Neuroethics Society Available Upon Request Philadelphia, PA 19019		P C	Research	104,000
INCF Karolinska Institutet Available Upon Request Stockholm SW			Research	200,000
Metropolitan Museum of Art Available Upon Request New York, NY 10020		P C	Support	3,000
Metropolitan Opera Association Available Upon Request New York, NY 10020		P C	Support	2,750
Morgan Library & Museum Available Upon Request New York, NY 10020		P C	Support	7,500
Museum of Modern Art Available Upon Request New York, NY 10020		P C	Support	5,000
Museum of the City of New York Available Upon Request New York, NY 10020		P C	Support	2,500
Neue Galerie New York Available Upon Request New York, NY 10020		P C	Support	5,000
New York Botanical Garden Available Upon Request New York, NY 10020		P C	Support	2,500
New York Philharmonic Available Upon Request New York, NY 10020		P C	Support	5,000
Nonprofit New York Available Upon Request New York, NY 10020		P C	Support	25,000
ResearchAmerica Available Upon Request Alexandria, VA 22206		P C	Support	20,000
Rockefeller University Available Upon Request New York, NY 10020		P C	Support	500
Royal Society Available Upon Request London UK			Research	112,000
Rubin Museum of Art Available Upon Request New York, NY 10020		P C	Support	5,000
Science Live Productions Inc Available Upon Request Brooklyn, NY 10020		P C	Support	8,000
Society for Neuroscience (SfN) Available Upon Request Washington, DC 20001		P C	Research	160,000
Solomon R Guggenheim Foundation Available Upon Request New York, NY 10020		P C	Support	5,000
The Aspen Institute Available Upon Request Washington, DC 20001		P C	Research	75,000
The Brooklyn Museum Available Upon Request Brooklyn, NY 10020		P C	Support	2,500
The Jewish Museum Available Upon Request New York, NY 10020		P C	Support	5,000
University of Minnesota Available Upon Request Duluth, MN 55802		P C	Research	42,000
University of Washington Available Upon Request Seattle, WA 98101		P C	Research	20,000
Whitney Museum of American Art Available Upon Request New York, NY 10020		P C	Support	5,000
Wildlife Conservation Society Available Upon Request Bronx, NY 10020		P C	Support	5,000
Dana Alliance for Brain Initiatives Available Upon Request New York, NY 10020		P O F	Support	2,327,792
Net Refunds Available Upon Request New York, NY 10020			Support	-185,693
Total			3a	5,078,103
b <i>Approved for future payment</i>				
Total			3b	

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	
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			698,836	
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			7,415,973	
9 Net income or (loss) from special events:				
10 Gross profit or (loss) from sales of inventory				
11 Other revenue:				
a Partnership Investments	900099	70,676	12,582,992	
b Misc Income			1,370	
c _____				
d _____				
e _____				
12 Subtotal. Add columns (b), (d), and (e).		70,676	20,699,171	
13 Total. Add line 12, columns (b), (d), and (e).				20,769,847

[illegible]

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

1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) (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.

(2) Other assets.

b Other transactions:

(1) Sales of assets to a noncharitable exempt organization.

(2) Purchases of assets from a noncharitable exempt organization

(3)* Rental of facilities, equipment, or other assets.

(4) Reimbursement arrangements.

(5) Loans or loan guarantees.

(6) Performance of services or membership or fundraising solicitations.

c Sharing of facilities, equipment, mailing lists, other assets, or paid employees.

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.

[illegible]

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

b If "Yes," complete the following schedule.

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

Sign Here

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

	2021-11-15	
Signature of officer or trustee	Date	Title

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

**Paid
Preparer
Use Only**

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

Additional Data

Return to Form

Software ID: 20011406

Software Version: 20.0.2.0

Part VI Line 7 - Tax Paid with the Original Return: 260,240

Form 990PF - Special Condition Description:

Special Condition Description

TY 2020 IRS 990 e-File Render

Name: The Charles A Dana Foundation Incorporated

EIN: 06-6036761

Software ID: 20011406

Software Version: 20.0.2.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
OConnor Davies et al	56,321	23,713		32,608
Preferred Pension	3,950	395		3,555

TY 2020 IRS 990 e-File Render

Name: The Charles A Dana Foundation Incorporated

EIN: 06-6036761

Software ID: 20011406

Software Version: 20.0.2.0

Election: The Dana Foundation hereby elects under Reg Sec 53-4942a-3d2 to apply 721,170 from the undistributed income from tax year 2015.

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

TY 2020 IRS 990 e-File Render

Name: The Charles A Dana Foundation Incorporated

EIN: 06-6036761

Software ID: 20011406

Software Version: 20.0.2.0

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
Leasehold Improvements NYO	2010-01-01	410,438	353,860	various	0000000010.000000000000	39,874	3,987		

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

TY 2020 IRS 990 e-File Render

Name: The Charles A Dana Foundation Incorporated

EIN: 06-6036761

Software ID: 20011406

Software Version: 20.0.2.0

Grantee's Name	Grantee's Address	Grant Date	Grant Amount	Grant Purpose	Amount Expended By Grantee	Any Diversion By Grantee?	Dates of Reports By Grantee	Date of Verification	Results of Verification
Dana Alliance for Brain Initiatives Inc (aka DABI)	10 Rockefeller Plaza 16th Fl New York, NY 10020	2020-12-31	2,327,792	Provide for the general support of DABI to enable it to carry out it charitable purposes.	2,257,416	No	July 2021	2021-07-01	Auditors Report

TY 2020 IRS 990 e-File Render

Name: The Charles A Dana Foundation Incorporated

EIN: 06-6036761

Software ID: 20011406

Software Version: 20.0.2.0

Identifier	Return Reference	Explanation
	Form 990-PF, Part IX-ASummary of Four Largest Direct Charitable Activities Grants Administration-2,0	Form 990-PF, Part IX-ASummary of Four Largest Direct Charitable Activities Grants Administration-2,043,470 The Foundation administers programs that support its Neuroscience and Society focus, through the specifically designated ojectives established by the foundations Board of Directors. The Foundations principal interest is in neuroscience, but also supports qualified civic and cultural organizations and maintains a matching charitable gifts program for its employees, OUTREACH- 1,163,002 The Dana Fnd is a private philanthropic org. dedicated to advancing understanding about the brain in health and disease through grants and public outreach. The Fnd funds and coordinates programs on a range of brain and brain health topics for diverse audiences. The signature outreach initiative is Brain Awareness Week , a global campaign coordinated by the Fnd to foster public enthusiasm and support for brain science. Every March, ptrs host imaginative activities in their communities that share the wonders of the brain, and the impact brain science has on our everyday lives. Currently, this annual global campaign includes more than 5,000 ptrs in 120 countries. The Dana Alliance DA, supported entirely by the Fnd, is a worldwide membership org. of neuroscientists and clinicians who have a proven history of and commitment to advancing public awareness about the progress and promise of brain research. Currently, the DA includes 670 members, including 45 Nobel laureates, in 45 countries. The Fnd is a resource for journalists for neuroscience information, providing background and access to experts in the field. The Fnd. publishes Cerebrum, an on-line journal, briefing papers and other electronic literature, and presents neuroscience-oriented podcasts, briefing papers, author interviews, and other neuroscience related materials. WEBSITE- 1,019,317 The Dana Foundation website features regular stories on neuroscience blog posts a user-friendly search engine grants information subscription features links to social media and all Foundation publications. The website includes regularly edited resource sections, including audience pages for kids, seniors, educators, and patients and caregivers, as well as sections on neuroeducation and neuro-ethics. The European Dana Alliance for the Brain website provides access to publications in multiple languages and links to international neuroscience research organizations. The Brain Awareness Week website offers partners and the public access to the international calendar free downloadable materials educational resources and information about the annual campaign. Part VII-A Line 11Controlled EntityThe Dana Alliance for Brain Initiatives, Inc.EIN 06-1360140Description of Transfer Cash grant paid during the year.Amount of Transfer 2,327,792 Part XV- GrantsWith regard to all grantsmade to any foreign grantees,an equivalancy determination wasmade.
	Treatment of Qualifying Distributions Election Pursuant to IRC Section 4942h2and Reg. 53.4942a-3d2,	Treatment of Qualifying Distributions Election Pursuant to IRC Section 4942h2)and Reg. 53.4942a)3d)2) the Foundation elects to treat qualifying distributions not treated as made out of the undistributed income of the immediately preceding tax year as made out of undistributed income from the tax year ended December 31 2015.

TY 2020 IRS 990 e-File Render

Name: The Charles A Dana Foundation Incorporated

EIN: 06-6036761

Software ID: 20011406

Software Version: 20.0.2.0

Name of Stock	End of Year Book Value	End of Year Fair Market Value
Eagle Acct Equities	17,270,728	17,270,728
Vanguard Inter Term Treasury Fund	10,329,569	10,329,569
Vanguard Short Term Treasury Fund	2,178,044	2,178,044

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The Charles A Dana Foundation Incorporated

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06-6036761

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20011406

Software Version:

20.0.2.0

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
Adage Capital	FMV	51,414,283	51,414,283
Davidson Kempner	FMV	16,390,092	16,390,092
King Street Capital	FMV	1,676,584	1,676,584
Adamas Opportunities	FMV	616,720	616,720
Adamas Partners	FMV	1,218,923	1,218,923
Silchester	FMV	6,491,830	6,491,830
1607 Capital Partners	FMV	13,306,549	13,306,549
Abbott Capital Fund IV	FMV	114,830	114,830
Abbott Capital Fund V	FMV	774,940	774,940
Abbott Capital Fund VI	FMV	2,834,214	2,834,214
Commonfund PE VI	FMV	762,325	762,325
Commonfund PEVII	FMV	2,623,518	2,623,518
Commonfund Intl Ptrs VI	FMV	1,451,341	1,451,341
Commonfund Venture Ptrs VIII	FMV	4,206,422	4,206,422
Knightsbridge VC	FMV	3,433,687	3,433,687
Cantillon Global	FMV	11,412,041	11,412,041
Whale Rock Long Opp	FMV	5,739,647	5,739,647
Overlook Ptrs Fund	FMV	5,000,000	5,000,000
Diameter Offshore	FMV	5,892,053	5,892,053
Viking Global Opp	FMV	10,000,000	10,000,000
Renaissance Ridge	FMV	4,937,290	4,937,290
TIFF Ptrs III	FMV	66,741	66,741
TIFF Ptrs IV	FMV	19,965	19,965
Aberdeen Real Assets	FMV	573,520	573,520
Commonfund NR IX	FMV	1,613,491	1,613,491
Dover Street IX	FMV	1,742,609	1,742,609
Dover Street X	FMV	556,729	556,729
Encap Flatrock Midstream V	FMV	432,231	432,231
Truebridge Cap V	FMV	2,909,450	2,909,450
Truebridge Cap VI	FMV	341,021	341,021
Kline Hill Ptrs II	FMV	959,246	959,246
Kline Hill Ptrs III	FMV	245,653	245,653
Kline Hill Ptrs Opp Fund III	FMV	84,832	84,832
Qiming VC	FMV	556,273	556,273
CA Resources	FMV	558,938	558,938
Rubicon Tech Ptrs III	FMV	509,527	509,527
Lead Edge Cap V	FMV	57,187	57,187
Moonrise China Ptrs II	FMV	236,105	236,105
Warburg Pincus Global Growth	FMV	1,250,218	1,250,218
Warburg Pincus Global Growth Europa	FMV	1,879,564	1,879,564
Warburg Pincus Global Growth EP 2	FMV	173	173
Himilaya Cap	FMV	6,538,592	6,538,592
Doddington Emerg Mkts	FMV	9,852,242	9,852,242
Arrowstreet ACWI	FMV	7,012,023	7,012,023
Elliot Fund	FMV	557,426	557,426
Gold Bullion	FMV	14,306,438	14,306,438
Blacl Light Power	FMV	17,820	17,820

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Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
Leasehold Improvements	410,438	353,860	16,704	16,704

TY 2020 IRS 990 e-File Render

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Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Epstein Becker, Green	5,765			5,765
CT Corp	1,105			1,105
Robinson Cole	12,291			12,291
Mavride Moyal et al	21,700			21,700
MMPS	3,500			3,500

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Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
Prepaid Expenses	136,180	84,464	84,464
Security Deposits	130,405	198,872	198,872
Prepaid Taxes	275,000	106,464	106,464

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Description	Amount
Change in Deferred Excise Taxes	150,000

TY 2020 IRS 990 e-File Render

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Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Insurance	78,188	7,819		70,369
Computers	120,278	12,028		108,250
Dues/Subscription	5,759	575		5,184
Copiers	18,305	1,831		16,474
Prof Devel	413	44		369
Office Expense	7,465	747		6,718
Miscellaneous	9,272	927		8,345
Telephone-Fax-Copier	27,626	2,763		24,863
Cash To Accrual Adj,				-80,748
FedEx Postage	436	40		396
Expenses Deducted on Form 990T				-6,853

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Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
Knightsbridge VC	534,475	517,579	
Abbott Cap Fund IV	-50,339	-98,402	
Abbott Cap Fund V	-190,280	-58,325	
Abbott Cap Fund VI	698,994	659,257	
Adamas Opp	-2,430	345,532	
976847	-2,601	75,940	
Davidson Kempner	976,847	976,847	
TIFF Ptrs III	-7,252	-13,944	
TIFF Ptrs IV	-28,220	-25,407	
Silchester	-430,130	-430,130	
Commonfund PE VI	95,481	95,481	
Commonfund PE VII	537,114	537,114	
Commonfund Intl. Ptrs	267,896	267,896	
Commonfund Venture Ptrs VIII	1,502,186	1,502,186	
Adage Capital	6,926,428	6,926,428	
1607 Ptrs	818,157	1,421,876	
Aberdeen Realty	-131,236	-23,870	
Commonfund Natural Resources IX	156,898	156,898	
Wellington CFT	47,560	427,689	
Truebridge Capital V	-21,078	-72,228	
Encap Flayrock Midstream IV	-83,657	-89,340	
Warburg Pincus	-84,866	-84,866	
Kline Hill II	-83	25,696	
Doddington Emerging Mkts	162,291	162,291	
Arrowstreet ACWI	448,215	448,215	
Truebridge Capital VI	-23,091	-47,480	
Renisassance Ridge	-2,299,197	-2,299,197	
Kline Hill III	-3,039	3,451	
Kline Hill Opport	151	4,797	
Rubicon Technologies	-44,212	-44,212	
Qiming Venture Ptr VII	-15,533	-15,533	
Moonrise Ptrs II	-5,156	-7,238	
Lead Edge Capital V	-6,555	-6,555	
Forester Capital B		2,061	
Warburg Pincus EP2		490	
P/Y Adj of F/S Partnership Inc to Inc 2019 K-1s	2,909,930		
Misc Inc	1,370	1,370	
UBIT Per K-1s		-70,676	
KPS		-9,514	

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Description	Amount
Change in Net Unrealized Appreciation in Investment Assets	7,008,731

TY 2020 IRS 990 e-File Render

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Software Version: 20.0.2.0

Description	Beginning of Year - Book Value	End of Year - Book Value
Deferred Taxes	525,000	675,000
Deferred Rent	97,923	28,801
Post Retirement Benefit Obligation	4,727,895	3,687,917

TY 2020 IRS 990 e-File Render

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Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Dr Blakemore	50,000			50,000
Dr Magistetti	35,000			35,000
Eagle Management Advisors	180,369	180,369		
PWC	15,000			15,000
Cambridge Assoc	302,812	302,812		
JP Morgan Chase	13,387	13,387		
Silchester	33,818	33,818		
Wellington	81,912	81,912		
Spencer Stuart	133,607			133,607
Misc Honoraria 41 people	2,500			2,500
HighTower	25,474			25,474

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Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
US Excise Tax	375,000			
US UBIT	666			
NYS Tax	2,142			