

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

Name of foundation DIANE AND DOROTHY BROOKS FOUNDATION		A Employer identification number 20-2653929
Number and street (or P.O. box number if mail is not delivered to street address) 11100 SANTA MONICA BLVD NO 400	Room/suite	B Telephone number (see instructions) (310) 734-1234
City or town, state or province, country, and ZIP or foreign postal code LOS ANGELES, CA 90025		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>65,441,450</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)	20,571,080			
	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	815,430	815,430		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	1,231,192			
	b Gross sales price for all assets on line 6a 16,960,157				
	7 Capital gain net income (from Part IV, line 2)		1,231,192		
	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)	3,767,600	3,767,600		
	12 Total. Add lines 1 through 11	26,385,302	5,814,222		
	13 Compensation of officers, directors, trustees, etc.	0	0		0
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)	203,059	203,059		0
	b Accounting fees (attach schedule)	29,293	29,293		0
	c Other professional fees (attach schedule)	225,091	225,091		0
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	83,210	83,210		0
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	1,010	1,010		0
	24 Total operating and administrative expenses. Add lines 13 through 23	541,663	541,663		0
	25 Contributions, gifts, grants paid	9,344,339			9,344,339
	26 Total expenses and disbursements. Add lines 24 and 25	9,886,002	541,663		9,344,339
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	16,499,300			
	b Net investment income (if negative, enter -0-)		5,272,559		
	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				
	2	Savings and temporary cash investments		3,986,329	1,002,317	1,002,317
	3	Accounts receivable ▶ <u>8,825,539</u>				
		Less: allowance for doubtful accounts ▶ _____		25,000	8,825,539	8,825,539
	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)		3,162,042	1,434,519	1,442,200
	b	Investments—corporate stock (attach schedule)		23,256,290	30,410,141	51,099,177
	c	Investments—corporate bonds (attach schedule)		1,719,083	2,988,533	3,072,217
	11	Investments—land, buildings, and equipment: basis ▶ _____				
	Less: accumulated depreciation (attach schedule) ▶ _____					
12	Investments—mortgage loans					
13	Investments—other (attach schedule)		5,080,256	0	0	
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)		37,229,000	44,661,049	65,441,450	
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 ▶ ☐					
	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 ▶ ☒					
	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		37,229,000	44,661,049	
29	Total net assets or fund balances (see instructions)		37,229,000	44,661,049		
30	Total liabilities and net assets/fund balances (see instructions)		37,229,000	44,661,049		

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 37,229,000
2	Enter amount from Part I, line 27a	2 16,499,300
3	Other increases not included in line 2 (itemize) ▶ _____	3 0
4	Add lines 1, 2, and 3	4 53,728,300
5	Decreases not included in line 2 (itemize) ▶ _____	5 9,067,251
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29.	6 44,661,049

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	73,289
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	0
3	Add lines 1 and 2.	3	73,289
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-.	5	73,289
6	Credits/Payments:		
a	2020 estimated tax payments and 2019 overpayment credited to 2020	6a	63,858
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	0
d	Backup withholding erroneously withheld	6d	0
7	Total credits and payments. Add lines 6a through 6d	7	63,858
8	Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached.	8	0
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	9,431
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid .	10	
11	Enter the amount of line 10 to be: Credited to 2021 estimated tax Refunded	11	

Part VII-A

Statements Regarding Activities

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		Yes	No
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. ☐ \$ 0 (2) On foundation managers. ☐ \$ 0			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ☐ \$ 0			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS?	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		No
b	If "Yes," has it filed a tax return on Form 990-T for this year?	4b		
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	Yes	
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) ☐ CA			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation</i>	8b	Yes	
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		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>NONE</u>	13	Yes	
14	The books are in care of ► <u>FREEDMAN BRODER & COMPANY</u> Telephone no. ► <u>(310) 734-1234</u> Located at ► <u>11100 SANTA MONICA BLVD 400 LOS ANGELES CA 90025</u> 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 <u>15</u>			
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 ☐ Organizations relying on a current notice regarding disaster assistance check here. ► ☐	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 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 ► <u>20____, 20____, 20____, 20____</u>			
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. ► <u>20____, 20____, 20____, 20____</u>			
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?

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?

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?

☐ Yes

☒ No

Yes

No

5b

6b

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
JAMES L BROOKS 11100 SANTA MONICA BL 400 LOS ANGELES, CA 90025	PRESIDENT 0.50	0	0	0
WILLIAM BRODER 11100 SANTA MONICA BL 400 LOS ANGELES, CA 90025	CFO AND SECRETARY 0.25	0	0	0
AMY BROOKS 11100 SANTA MONICA BL 400 LOS ANGELES, CA 90025	VICE-PRESIDENT 0.00	0	0	0
CHLOE BROOKS 11100 SANTA MONICA BL 400 LOS ANGELES, CA 90025	VICE-PRESIDENT 0.00	0	0	0
COOPER BROOKS 11100 SANTA MONICA BL 400 LOS ANGELES, CA 90025	VICE-PRESIDENT 0.00	0	0	0
JOSEPH BROOKS 11100 SANTA MONICA BL 400 LOS ANGELES, CA 90025	VICE-PRESIDENT 0.00	0	0	0

2

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

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

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

0

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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
NONE		

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

0

Part IX-A

Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1	
2	
3	
4	

Part IX-B

Summary of Program-Related Investments (see instructions)

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

Total. Add lines 1 through 3

0

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities.	1a	42,880,966
b	Average of monthly cash balances.	1b	2,788,130
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	45,669,096
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	45,669,096
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	685,036
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	44,984,060
6	Minimum investment return. Enter 5% of line 5.	6	2,249,203

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	2,249,203
2a	Tax on investment income for 2020 from Part VI, line 5.	2a	73,289
b	Income tax for 2020. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b.	2c	73,289
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	2,175,914
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	2,175,914
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	2,175,914

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	9,344,339
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	9,344,339
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	9,344,339

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				2,175,914
2 Undistributed income, if any, as of the end of 2020:				
a Enter amount for 2019 only.			0	
b Total for prior years: 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2020:				
a From 2015.				
b From 2016.				
c From 2017.			359,901	
d From 2018.				
e From 2019.			1,114,720	
f Total of lines 3a through e.	1,474,621			
4 Qualifying distributions for 2020 from Part XII, line 4: ▶ \$ 9,344,339				
a Applied to 2019, 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 2020 distributable amount				2,175,914
e Remaining amount distributed out of corpus	7,168,425			
5 Excess distributions carryover applied to 2020. (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	8,643,046			
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 2019. Subtract line 4a from line 2a. Taxable amount—see instructions.			0	
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).	0			
8 Excess distributions carryover from 2015 not applied on line 5 or line 7 (see instructions)	0			
9 Excess distributions carryover to 2021. Subtract lines 7 and 8 from line 6a	8,643,046			
10 Analysis of line 9:				
a Excess from 2016				
b Excess from 2017			359,901	
c Excess from 2018.				
d Excess from 2019			1,114,720	
e Excess from 2020			7,168,425	

Part XIV

- 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.)**

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).)

JAMES L BROOKS

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

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:

- Form
- 990-PF**
- (2020)

Part XV

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 Paid during the year				
NY TIMES NEEDIEST CASES 4 CHASE METROTECH CENTER BROOKLYN,NY 11245	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
PARA LOS NINOS 5000 HOLLYWOOD BLVD HOLLYWOOD,CA 90027	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	25,000
RAPE FOUNDATION 1223 WILSIRE BL 410 SANTA MONICA,CA 90403	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	10,000
MARINE TOYS FOR TOTS FOUNDATION 18251 QUANTICO GATEWAY DRIVE TRIANGLE,VA 22172	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	5,000
SABAN COMMUNITY CLINIC 8405 BEVERLY BLVD LOS ANGELES,CA 90048	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	549,399
NEW YORK CARES 65 BROADWAY 19TH FL NEW YORK,NY 10006	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
SHARE OUR STRENGTH PO BOX 75475 BALTIMORE,MD 21275	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	425,000
VINEYARD COMMITTEE ON HUNGER PO BOX 4685 VINEYARD HAVEN,MA 02568	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	15,000
YADDO PO BOX 395 SARATOGA SPRINGS,NY 12866	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	10,000
HOLA - HEART OF LOS ANGELES 2701 WILSHIRE BLVD STE 100 LOS ANGELES,CA 90057	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	100,000
AMERICAN FILM INSTITUTE 2021 NORTH WESTERN AVE LOS ANGELES,CA 90027	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	55,000
CEDARS SINAI MED CENTER 8700 BEVERLY BLVD STE 2416 LOS ANGELES,CA 90048	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSESUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	465,000
LOS ANGELES CENTER OF PHOTOGRAPHY 1515 WILCOX AVE LOS ANGELES,CA 90028	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
MAYO CLINIC 200 FIRST STREET SW ROCHESTER,MN 55905	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	57,500
ROADRUNNER FOOD BANK INC 5840 OFFICE BLVD NE ALBUQUERQUE,NM 87109	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
UCLA LAB SCHOOL 330 CHARLES E YOUNG DR NORTH LOS ANGELES,CA 90095	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	30,000
BRENNAN CENTER JUSTICE 120 BROADWAY STE 1750 NEW YORK,NY 10271	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	250,000
BOYS & GIRLS CLUB OF WEST SAN GABRIEL VALLEY 328 S RAMONA AVE MONTEREY PARK,CA 91754	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
CA COMMUNITY FOUDATION 221 S FIGUEROA ST SUITE 400 LOS ANGELES,CA 90012	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	500,000
CLAYTON CHILDREN'S MUSEUM 395 SANTA MONICA PL STE 374 SANTA MONICA,CA 90401	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
CENTRAL VALLEY FOOD BANK 4010 EAST AMENDOLA DRIVE FRESNO,CA 93725	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	327,440
COMMUNITY FOOD BANK OF SOUTHERN ARIZONA 3003 SOUTH COUNTRY CLUB ROAD TUCSON,AZ 85713	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
CENTER PACIFIC ASIAN FAMILY 3424 WILSHIRE BLVD STE 1000 LOS ANGELES,CA 90010	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	25,000
COMMONWEALTH FOUNDATION PA	NONE	PUBLIC	SUPPORTS	20,000

STANDS UP INSTITUTE 1515 OXFORD ST 1D BERKLEY,CA 97090		CHARITY	ORGANIZATION'S CHARITABLE PURPOSE	
EL PASOANS FIGHTING HUNGER FOOD BANK 9541 PLAZA CIRCLE EL PASO,TX 79927	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
FWDUS EDUCATION FUND 1417 CORCORAN ST NW WASHINGTON,DC 20009	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
FOR OUR FUTURE EDUCATION FUND PO BOX 15845 WASHINGTON,DC 20003	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	20,000
FUSION ACADEMY 5757 WILSHIRE BLVD PROMENADE 1 LOS ANGELES,CA 90036	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	20,000
FOOD FORWARD INC 7412 FULTON AVE STE 3 NO HOLLYWOOD,CA 91605	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	200,000
HISPANICS PHILANTHROPY 414 13TH ST STE 200 OAKLAND,CA 94612	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	100,000
HEART OF LA YOUTH INC 31822 VILLAGE CENTER ROAD STE 208 WESTLAKE VILLAGE,CA 91361	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	75,000
NEW YORK IMMIGRATION COALITION INC 131 W 33RD STREET STE 610 NEW YORK,CA 10001	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	10,000
IMMIGRANT DEFENDERS LAW CENTER 634 S SPRING ST 10TH FL LOS ANGELES,CA 90014	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
INNER CITY LAW CENTER 1309 E 7TH ST LOS ANGELES,CA 90021	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
ISLAND FOOD PANTRY MARTHA'S VINEYARD 137 VINEYARD AV OAK BLUFFS,MA 02557	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	25,000
JERICHO PROJECT 245 WEST 29TH STREET STE 902 NEW YORK,NY 10001	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	10,000
FOOD BANK OF SO JERSEY 1501 JOHN TIPTON BLVD PENNSAUKEN,NJ 08110	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
JOHN HOPKINS UNIVERSITY 415 N WASHINGTON STREET BALTIMORE,MD 21231	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	500,000
KCRW 1900 PICO BLVD SANTA MONICA,CA 90405	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	25,000
LEE INITIATIVE 610 WEST MAGNOLIA AVE LOUISVILLE,KY 40208	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
LAWYERS FOR GOOD GOVERNMENT FOUNDATION 1068-B HAZELHURST DR STE 19646 HOUSTON,TX 77043	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
LAS AMERICAS IMMIGRANT ADVOCACY CENTER 1500 EAST YANDELL DRIVE EL PASO,CA 79902	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
LAWYERS' COMMITTEE FOR CIVIL RIGHTS UNDER LAW 1500 K STREET NW SUITE 900 WASHINGTON,DC 20005	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	1,050,000
LA FAMILY HOUSING 7843 LANKERSHIM BLVD NO HOLLYWOOD,CA 91605	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	200,000
MEALS ON WHEELS 1550 CRYSTAL DRIVE STE 1004 ARLINGTON,V A 22202	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	100,000
MAYOR'S FUND LOS ANGELES ANGELENO FUND 200 NORTH SPRING STREET ROOM 3058 LOS ANGELES,CA 90012	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	300,000
MAYOR'S FUND LOS ANGELES MEALS HOMELESS SHELTERS 200 NORTH SPRING STREET ROOM 3058 LOS ANGELES,CA 90012	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	150,000
FDN SOUTHEAST MICHIGAN 333 WEST FORT STREET DETROIT,MI 48226	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	100,000

RAYORS'S FUND ADV NYC 253 BROADWAY 6TH FLOOR NEW YORK,NY 10007	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	250,000
FOUNDATION MORRISTOWN MEDICAL CENTER 475 SOUTH STREET MORRISTOWN,NJ 07960	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	100,000
NAACP 40 RECTOR STREET 5TH FL NEW YORK,NY 10006	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	100,000
NEIGHBORHOOD LEGAL SERVICES OF LA COUNTY 13327 VAN NUYS BLVD PACOIMA,CA 91331	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
PAROLE PREPARATION PROJECT INC 168 CANAL STREET 6TH FL NEW YORK,NY 10013	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	5,000
PERMANENT ENDOWMENT MV PO BOX 243 WEST TISBURY,MA 02575	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	25,000
PROJECT RENEWAL 200 VARICK ST 9TH FL NEW YORK,NY 10014	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
FOOD BANK RIO GRANDE VALLEY 724 NORTH CAGE BLVD PHARR,TX 78577	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
RHINO FOUNDATION 201 MAIN STREET STE 2600 FORT WORTH,TX 76102	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	85,000
SECOND HARVEST FOOD BANK 700 EDWARDS AVE NEW ORLEANS,LA 70123	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	200,000
DAVID SHELDRICK WILDLIFE 25283 CABOT RD STE 101 LAGUNA HILLS,CA 92653	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	110,000
SCHOOLS ON WHEELS INC PO BOX 23371 VENTURA,CA 93002	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	470,000
SPARK OF LOVE LAFD FOUNDATION 1700 STADIUM WAY 100 LOS ANGELES,CA 90012	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	25,000
WILDLIFE CONSERVATION NETWORK 209 MISSISSIPPI ST SAN FRANCISCO,CA 94107	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
TEXAS CIVIL RIGHTS PROJECT 1405 MONTPLIS DRIVE AUSTIN,TX 78741	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	50,000
TIDES FOUNDATION 3440 WALNUT AVE BLDG A WINDOW H FREMONT,CA 94538	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	75,000
NATIONAL VOTE AT HOME INSTITUTE PO BOX 65752 WASHINGTON,DC 20035	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	750,000
VOTO LATINO FOUNDATION PO BOX 35608 WASHINGTON,DC 20033	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	125,000
WIN 1 STATE STREET 18TH FLOOR NEW YORK,NY 10004	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	100,000
WORLD CENTRAL KITCHEN #CHEFS FOR AMERICA 1342 FLORIDA AVE NW WASHINGTON,DC 20009	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	105,000
WATER BUFFALO CLUB PO BOX 35463 LOS ANGELES,CA 90035	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	25,000
WAYFINDER FAMILY SERVICES 5300 ANGELES VISTA BLVD LOS ANGELES,CA 90043	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	15,000
WYNC - NY PUBLIC RADIO PO BOX 1550 NEW YORK,NY 10116	NONE	PUBLIC CHARITY	SUPPORTS ORGANIZATION'S CHARITABLE PURPOSE	25,000
Total ► 3a				9,344,339
b Approved for future payment				
Total ► 3b				0

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions.)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue:					
a NONE					
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			14	815,430	
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.			14	3,767,600	
8 Gain or (loss) from sales of assets other than inventory			14	1,231,192	
9 Net income or (loss) from special events:					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue: a _____					
b _____					
c _____					
d _____					
e _____					
12 Subtotal. Add columns (b), (d), and (e).		0		5,814,222	0
13 Total. Add line 12, columns (b), (d), and (e).			13	5,814,222	5,814,222

(See worksheet in line 13 instructions to verify calculations.)

[illegible]

Part XVII

Yes

No

1a(1)

No

1a(2)

1b(1)

1b(2)

1b(3)

1b(4)

1b(5)

1b(6)

1c

ket va

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

☐ Yes☒ No

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

(b) Type of organization

(c) Description of relationship

Signature of officer or trustee

2021-11-08

Date

Title

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

☒ Yes ☐ No

PTIN

P00137499

WILLIAM C BRODER

Firm's name ► FREEDMAN BRODER & COMPANY

Firm's address ► 11100 SANTA MONICA 400

LOS ANGELES, CA 90025

Phone no.
(310) 734-1234

Additional Data

Return to Form

Software ID:

Software Version:

Form 990PF - Special Condition Description:

Special Condition Description

Schedule B (Form 990, 990-EZ, or 990-PF) Department of the Treasury Internal Revenue Service	Schedule of Contributors ▶ Attach to Form 990, 990-EZ, or 990-PF. ▶ Go to www.irs.gov/Form990 for the latest information.	OMB No. 1545-0047
		2020
Name of the organization DIANE AND DOROTHY BROOKS FOUNDATION		Employer identification number 20-2653929

Organization type (check one):

Filers of:	Section:
Form 990 or 990-EZ	☐ 501(c)() (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust not treated as a private foundation
	☐ 527 political organization
Form 990-PF	☒ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

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

General Rule

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

Special Rules

- ☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 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 DIANE AND DOROTHY BROOKS FOUNDATION	Employer identification number 20-2653929
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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	JAMES L BROOKS 11100 SANTA MONICA BL 400 LOS ANGELES, C A 90025	 \$ 2,013,209	☐ Person ☐ Payroll ☒ Noncash (Complete Part II for noncash contributions.)
2	JAMES L BROOKS 11100 SANTA MONICA BL 400 LOS ANGELES, C A 90025	 \$ 405,577	☐ Person ☐ Payroll ☒ Noncash (Complete Part II for noncash contributions.)
3	JAMES L BROOKS 11100 SANTA MONICA BL 400 LOS ANGELES, C A 90025	 \$ 3,133,504	☐ Person ☐ Payroll ☒ Noncash (Complete Part II for noncash contributions.)
4	JAMES L BROOKS 11100 SANTA MONICA BL 400 LOS ANGELES, C A 90025	 \$ 5,018,789	☐ Person ☐ Payroll ☒ Noncash (Complete Part II for noncash contributions.)
			☐ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
			☐ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)

Name of organization DIANE AND DOROTHY BROOKS FOUNDATION	Employer identification number 20-2653929
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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>VARIOUS COMMON STOCKS</u>	<u>\$ 2,013,209</u>	<u>2020-05-18</u>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
2	<u>VARIOUS COMMON STOCKS</u>	<u>\$ 405,577</u>	<u>2020-07-16</u>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
3	<u>VARIOUS COMMON STOCKS</u>	<u>\$ 3,133,504</u>	<u>2020-10-07</u>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
4	<u>VARIOUS COMMON STOCKS</u>	<u>\$ 5,018,789</u>	<u>2020-12-29</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 DIANE AND DOROTHY BROOKS FOUNDATION	Employer identification number 20-2653929
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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

[Return to Form](#)

Software ID:

Software Version:

TY 2020 IRS 990 e-File Render

Name: DIANE AND DOROTHY BROOKS FOUNDATION

EIN: 20-2653929

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING/TAX PREP	29,293	29,293		0

TY 2020 IRS 990 e-File Render

Name: DIANE AND DOROTHY BROOKS FOUNDATION

EIN: 20-2653929

Name of Bond	End of Year Book Value	End of Year Fair Market Value
KAYNE ANDERSON 670-675857	1,985,385	2,069,237
CNB SECURITIES BHS 213233	1,003,148	1,002,980

TY 2020 IRS 990 e-File Render**Name:** DIANE AND DOROTHY BROOKS FOUNDATION**EIN:** 20-2653929

Name of Stock	End of Year Book Value	End of Year Fair Market Value
KAYNE ANDERSON 670-675857	2,949,945	5,069,592
KAYNE ANDERSON 670-675849	2,005,822	3,971,915
KAYNE ANDERSON 670-642669	755,152	1,082,811
CNB SECURITIES BHS 213233	168,833	808,414
KAYNE ANDERSON 676-324879	17,392,456	21,148,875
FIDELITY 657-530103	6,733,820	18,663,220
RBC CAPITAL MARKETS LLC OPTION ACCOUNT	404,113	354,350

TY 2020 IRS 990 e-File Render

Name: DIANE AND DOROTHY BROOKS FOUNDATION

EIN: 20-2653929

**US Government Securities - End of
Year Book Value:**

1,354,519

**US Government Securities - End of
Year Fair Market Value:**

1,361,982

**State & Local Government
Securities - End of Year Book
Value:**

80,000

**State & Local Government
Securities - End of Year Fair
Market Value:**

80,218

TY 2020 IRS 990 e-File Render

Name: DIANE AND DOROTHY BROOKS FOUNDATION

EIN: 20-2653929

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LEGAL	203,059	203,059		0

TY 2020 IRS 990 e-File Render

Name: DIANE AND DOROTHY BROOKS FOUNDATION

EIN: 20-2653929

Description	Amount
DIFFERENCE OF FMV AND COST BASIS OF ASSETS CONTRIBUTED	8,869,550
ADJUSTMENT CARRY VALUE OF ASSETS AT BEGINNING OF YEAR	197,701

TY 2020 IRS 990 e-File Render

Name: DIANE AND DOROTHY BROOKS FOUNDATION

EIN: 20-2653929

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BANKING	1,010	1,010		0

TY 2020 IRS 990 e-File Render

Name: DIANE AND DOROTHY BROOKS FOUNDATION

EIN: 20-2653929

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
CANTILLON GLOBAL EQUITY LP	3,767,600	3,767,600	3,767,600

TY 2020 IRS 990 e-File Render

Name: DIANE AND DOROTHY BROOKS FOUNDATION

EIN: 20-2653929

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MANAGEMENT - 675849	26,035	26,035		0
CONSULTING	102,713	102,713		0
INVESTMENT MANAGEMENT - 942669	7,588	7,588		0
INVESTMENT MANAGEMENT - 675857	43,485	43,485		0
INVESTMENT MANAGEMENT - 530103	45,270	45,270		0

TY 2020 IRS 990 e-File Render

Name: DIANE AND DOROTHY BROOKS FOUNDATION

EIN: 20-2653929

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
STATE TAXES	10	10		0
FOREIGN TAX NATL FINL SERV 942669	1,601	1,601		0
FOREIGN TAX NATL FINL SERV 675857	1,733	1,733		0
FEDERAL EXCISE TAX ON INVESTMENT INCOME	75,558	75,558		0
FOREIGN TAX CANTILLON GLOBAL EQUITY LP	4,019	4,019		0
FOREIGN TAX NATL FINL SERV 675849	9	9		0
FOREIGN TAX NATL FINL SERV 530103	280	280		0