

# TAX RETURN FILING INSTRUCTIONS

FORM 990-PF

FOR THE YEAR ENDING  
December 31, 2016

Prepared for	The J.M. KAPLAN FUND, INC. 71 West 23rd Street, 9th Floor New York, NY 10010
Prepared by	PKF O'CONNOR DAVIES, LLP 665 Fifth Avenue New York, NY 10022
Amount due or refund	An overpayment of \$258,077. The entire overpayment has been applied to the estimated tax payments.
Make check payable to	No amount is due.
Mail tax return and check (if applicable) to	Department of the Treasury Internal Revenue Service Center Ogden, UT 84201-0027
Return must be mailed on or before	November 15, 2017
Special Instructions	<p>The return should be signed and dated.</p> <p>Please note that the Form 990-PF return contains excess distribution carryover of \$10,495,575. This may be applied to tax year 2017 and subsequent years.</p>

EXTENDED TO NOVEMBER 15, 2017

**Return of Private Foundation**

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

OMB No. 1545-0052

**2016**

Open to Public Inspection

Form **990-PF**Department of the Treasury  
Internal Revenue Service

Do not enter social security numbers on this form as it may be made public.

Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf).

For calendar year 2016 or tax year beginning

, and ending

Name of foundation <b>THE J.M. KAPLAN FUND, INC.</b>		A Employer identification number <b>13-6090286</b>
Number and street (or P.O. box number if mail is not delivered to street address) <b>71 WEST 23RD STREET, 9TH FLOOR</b>	Room/suite	B Telephone number <b>212-767-0630</b>
City or town, state or province, country, and ZIP or foreign postal code <b>NEW YORK, NY 10010</b>		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Initial return  <input type="checkbox"/> Final return  <input type="checkbox"/> Address change         </div> <div> <input type="checkbox"/> Initial return of a former public charity  <input type="checkbox"/> Amended return  <input type="checkbox"/> Name change         </div> </div>		D 1. Foreign organizations, check here <input type="checkbox"/>  2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ <b>134,520,762.</b>	J Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

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).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
<b>Revenue</b>	1 Contributions, gifts, grants, etc., received			N/A	
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	328.	328.		STATEMENT 1
	4 Dividends and interest from securities	2,051,330.	2,049,259.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	2,764,348.			
	b Gross sales price for all assets on line 6a	11,643,478.			
	7 Capital gain net income (from Part IV, line 2)		2,770,787.		
	8 Net short-term capital gain				
9 Income modifications					
10a Gross sales less returns and allowances					
b Less: Cost of goods sold					
c Gross profit or (loss)					
11 Other income	1,373,747.	1,268,271.		STATEMENT 3	
12 Total. Add lines 1 through 11	6,189,753.	6,088,645.			
<b>Operating and Administrative Expenses</b>	13 Compensation of officers, directors, trustees, etc.	323,756.	60,689.		257,044.
	14 Other employee salaries and wages	470,026.	68,415.		395,047.
	15 Pension plans, employee benefits	212,843.	43,051.		169,145.
	16a Legal fees STMT 4	38,146.	0.		32,801.
	b Accounting fees STMT 5	65,589.	0.		53,701.
	c Other professional fees STMT 6	776,452.	604,269.		169,613.
	17 Interest	597,273.	7,905.		0.
	18 Taxes STMT 7	103,027.	53,738.		0.
	19 Depreciation and depletion	218,992.	0.		
	20 Occupancy	150,888.	15,089.		135,799.
	21 Travel, conferences, and meetings	243,202.	4,724.		237,308.
	22 Printing and publications	59,837.	11,967.		47,175.
	23 Other expenses STMT 8	1,836,746.	1,755,580.		388,737.
	24 Total operating and administrative expenses. Add lines 13 through 23	5,096,777.	2,625,427.		1,886,370.
	25 Contributions, gifts, grants paid	6,458,375.			6,722,551.
26 Total expenses and disbursements. Add lines 24 and 25	11,555,152.	2,625,427.		8,608,921.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-5,365,399.				
b Net investment income (if negative, enter -0-)		3,463,218.			
c Adjusted net income (if negative, enter -0-)			N/A		

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only.		
		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	500.	500.	500.
	2 Savings and temporary cash investments	5,416,751.	6,260,692.	6,260,692.
	3 Accounts receivable ▶ 33,361.			
	Less: allowance for doubtful accounts ▶		33,361.	33,361.
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶ 160,423.			
	Less: allowance for doubtful accounts ▶ 0.	187,457.	160,423.	160,423.
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges	12,852.	26,784.	26,784.
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock			
	c Investments - corporate bonds STMT 9	1,973,367.	1,980,156.	1,980,156.
	11 Investments - land, buildings, and equipment: basis ▶			
Liabilities	Less: accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 10	128,589,671.	123,751,047.	123,751,047.
	14 Land, buildings, and equipment: basis ▶ 2,396,610.			
	Less: accumulated depreciation STMT 11 ▶ 677,149.	1,803,391.	1,719,461.	1,780,464.
	15 Other assets (describe ▶ STATEMENT 12)	606,062.	527,335.	527,335.
	16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	138,590,051.	134,459,759.	134,520,762.
	17 Accounts payable and accrued expenses	105,689.	171,376.	
	18 Grants payable	2,114,000.	1,849,823.	
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶ STATEMENT 13)	864,500.	919,569.	
	23 Total liabilities (add lines 17 through 22)	3,084,189.	2,940,768.	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted	135,505,862.	131,518,991.	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 Total net assets or fund balances	135,505,862.	131,518,991.	
	31 Total liabilities and net assets/fund balances	138,590,051.	134,459,759.	

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

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	135,505,862.
2 Enter amount from Part I, line 27a	2	-5,365,399.
3 Other increases not included in line 2 (itemize) ▶ UNREALIZED GAIN ON INVESTMENT	3	1,433,597.
4 Add lines 1, 2, and 3	4	131,574,060.
5 Decreases not included in line 2 (itemize) ▶ DEFERRED EXCISE TAX EXPENSE	5	55,069.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	131,518,991.

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**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.)
<b>1a SALE OF PUBLICLY TRADED SECURITIES</b>	<b>P</b>	<b>VARIOUS</b>	<b>VARIOUS</b>
<b>b REALIZED GAINS-SEE ATTACHMENT B</b>	<b>P</b>	<b>VARIOUS</b>	<b>VARIOUS</b>
<b>c</b>			
<b>d</b>			
<b>e</b>			

(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)
<b>a 66,834.</b>		<b>67,911.</b>	<b>-1,077.</b>
<b>b</b>			<b>2,771,864.</b>
<b>c</b>			
<b>d</b>			
<b>e</b>			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) 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	
<b>a</b>			<b>-1,077.</b>
<b>b</b>			<b>2,771,864.</b>
<b>c</b>			
<b>d</b>			
<b>e</b>			

<b>2</b> 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 }	<b>2</b>	<b>2,770,787.</b>
<b>3</b> 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). If (loss), enter -0- in Part I, line 8	{ }	<b>3</b>	<b>N/A</b>

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

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2015	12,699,622.	142,453,294.	.089149
2014	7,682,661.	143,960,146.	.053367
2013	7,213,665.	136,544,350.	.052830
2012	7,873,165.	132,036,889.	.059629
2011	9,843,828.	134,793,179.	.073029

<b>2</b> Total of line 1, column (d)	<b>2</b>	<b>.328004</b>
<b>3</b> Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	<b>3</b>	<b>.065601</b>
<b>4</b> Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	<b>4</b>	<b>132,560,204.</b>
<b>5</b> Multiply line 4 by line 3	<b>5</b>	<b>8,696,082.</b>
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	<b>34,632.</b>
<b>7</b> Add lines 5 and 6	<b>7</b>	<b>8,730,714.</b>
<b>8</b> Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	<b>8</b>	<b>8,743,983.</b>

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	34,632.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	34,632.
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	34,632.
6 Credits/Payments:			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a	242,709.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c	50,000.	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	292,709.	
8 Enter any penalty for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> 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	258,077.	
11 Enter the amount of line 10 to be: Credited to 2017 estimated tax <input checked="" type="checkbox"/> 258,077. Refunded <input type="checkbox"/>	11	0.	

**Part VII-A Statements Regarding Activities**

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? 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.		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. \$ 0. (2) On foundation managers. \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	X	
b If "Yes," has it filed a tax return on Form 990-T for this year?	X	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input checked="" type="checkbox"/> NY, 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? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

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

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)		X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	X	
Website address <b>WWW.JMKFUND.ORG</b>		
14 The books are in care of <b>WILLIAM FALAHEE</b> Telephone no. <b>212-767-0630</b>		
Located at <b>71 WEST 23RD STREET, 9TH FLOOR, NEW YORK, NY</b> ZIP+4 <b>10010</b>		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year <b>15</b> N/A		
16 At any time during calendar year 2016, 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?		X
See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country		

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?		X
Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/>		
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 2016?		X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes," list the years		
b Are there any years listed in 2a for which the foundation is <b>not</b> 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 <b>all</b> years listed, answer "No" and attach statement - see instructions.)	N/A	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If "Yes," did it have excess business holdings in 2016 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 2016.)	N/A	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?		X

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**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? **SEE STATEMENT 14** ☒ 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 ☒ Nob If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? **N/A****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.

(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
SEE ATTACHMENT C 71 WEST 23RD STREET 9TH FLOOR NEW YORK, NY 10010	0.00	323,756.	55,843.	0.

**2** Compensation of five highest-paid employees (other than those included on line 1). 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
WILLIAM FALAHEE - 71 WEST 23RD STREET 9TH FLOOR, NY, NY 10010	CONTROLLER 40.00	136,853.	58,181.	0.
ANGELA CARABINE - 71 WEST 23RD STREET 9TH FLOOR, NY, NY 10010	GRANTS MANAGER/EXECUTIVE ASSISTANT 40.00	103,789.	46,230.	0.
CHARLES MOORE - 71 WEST 23RD STREET 9TH FLOOR, NY, NY 10010	PROGRAM DIRECTOR 35.00	98,367.	16,122.	0.
ANN BIRCKMAYER - 71 WEST 23RD STREET 9TH FLOOR, NY, NY 10010	PROGRAM ASSOCIATE 35.00	79,026.	13,771.	0.

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. If none, enter "NONE."

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
BRANDYWINE MANAGEMENT CO. 880 THIRD AVENUE, NEW YORK, NY 10022	INVESTMENT SERVICES	563,934.
SOCIAL STRATEGY ASSOCIATES, INC. - 4615 CENTER BLVD #2407, LONG ISLAND CITY, NY 11109	INNOVATION PRIZE CONSULTANT	96,000.
ROBERTA GRATZ 25 CENTRAL PARK WEST, NEW YORK, NY 10023	WRITING THE HISTORY OF THE FUND	50,000.
Total number of others receiving over \$50,000 for professional services		0

**Part IX-A** Summary of Direct Charitable Activities

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

	Expenses
1 N/A	
2	
3	
4	

**Part IX-B** Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

1	N/A	
2		
	All other program-related investments. See instructions.	
3		
Total. Add lines 1 through 3		0

Form 990-PF (2016)



**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	125,920,756.
b	Average of monthly cash balances	1b	8,441,605.
c	Fair market value of all other assets	1c	216,526.
d	<b>Total</b> (add lines 1a, b, and c)	1d	134,578,887.
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	134,578,887.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	2,018,683.
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	5	132,560,204.
6	<b>Minimum investment return.</b> Enter 5% of line 5	6	6,628,010.

**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	6,628,010.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	34,632.
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	34,632.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	6,593,378.
4	Recoveries of amounts treated as qualifying distributions	4	30,000.
5	Add lines 3 and 4	5	6,623,378.
6	Deduction from distributable amount (see instructions)	6	0.
7	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	6,623,378.

**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	8,608,921.
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	135,062.
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	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	8,743,983.
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	5	34,632.
6	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	6	8,709,351.

**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 2015	(c) 2015	(d) 2016
<b>1</b> Distributable amount for 2016 from Part XI, line 7				6,623,378.
<b>2</b> Undistributed income, if any, as of the end of 2016:				
<b>a</b> Enter amount for 2015 only			0.	
<b>b</b> Total for prior years:		0.		
<b>3</b> Excess distributions carryover, if any, to 2016:				
<b>a</b> From 2011	3,383,845.			
<b>b</b> From 2012	1,582,772.			
<b>c</b> From 2013	427,339.			
<b>d</b> From 2014	665,795.			
<b>e</b> From 2015	5,699,064.			
<b>f</b> Total of lines 3a through e	11,758,815.			
<b>4</b> Qualifying distributions for 2016 from Part XII, line 4: ▶ \$	8,743,983.			
<b>a</b> Applied to 2015, but not more than line 2a			0.	
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions)		0.		
<b>c</b> Treated as distributions out of corpus (Election required - see instructions)	0.			
<b>d</b> Applied to 2016 distributable amount				6,623,378.
<b>e</b> Remaining amount distributed out of corpus	2,120,605.			
<b>5</b> Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	13,879,420.			
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b		0.		
<b>c</b> 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.		
<b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
<b>e</b> Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
<b>f</b> Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				0.
<b>7</b> 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)	7,500.	See Statement 15		
<b>8</b> Excess distributions carryover from 2011 not applied on line 5 or line 7	3,376,345.			
<b>9</b> Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	10,495,575.			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2012	1,582,772.			
<b>b</b> Excess from 2013	427,339.			
<b>c</b> Excess from 2014	665,795.			
<b>d</b> Excess from 2015	5,699,064.			
<b>e</b> Excess from 2016	2,120,605.			

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

N/A

**1 a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2016, enter the date of the ruling ▶

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

	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
<b>2 a</b> Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
<b>b</b> 85% of line 2a					
<b>c</b> Qualifying distributions from Part XII, line 4 for each year listed					
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities					
<b>e</b> Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
<b>3</b> Complete 3a, b, or c for the alternative test relied upon:					
<b>a</b> "Assets" alternative test - enter:					
<b>(1)</b> Value of all assets					
<b>(2)</b> Value of assets qualifying under section 4942(j)(3)(B)(i)					
<b>b</b> "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
<b>c</b> "Support" alternative test - enter:					
<b>(1)</b> Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
<b>(2)</b> Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
<b>(3)</b> Largest amount of support from an exempt organization					
<b>(4)</b> Gross investment income					

**Part XV Supplementary Information** (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year-see instructions.)**1 Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

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

SEE ATTACHMENT G

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

SEE ATTACHMENT G

**c** Any submission deadlines:

SEE ATTACHMENT G

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

SEE ATTACHMENT G

**Part XV** Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a Paid during the year</b>				
SEE ATTACHMENT E	N/A			6,722,551.
<b>Total</b>			<b>3a</b>	6,722,551.
<b>b Approved for future payment</b>				
SEE ATTACHMENT F	N/A			1,849,823.
<b>Total</b>			<b>3b</b>	1,849,823.

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**Part XVI-A      Analysis of Income-Producing Activities**

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount		Related or exempt function income
1 Program service revenue:						
a <b>PRI INTEREST</b>						2,600.
b						
c						
d						
e						
f						
g Fees and contracts from government agencies						
2 Membership dues and assessments						
3 Interest on savings and temporary cash investments			14	328.		
4 Dividends and interest from securities	525990	116.	14	2,051,214.		
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	525990	11,227.	14	1,359,665.		
8 Gain or (loss) from sales of assets other than inventory	525990	-9,821.	18	2,774,169.		
9 Net income or (loss) from special events						
10 Gross profit or (loss) from sales of inventory						
11 Other revenue:						
a <b>SECURITIES LITIGATION</b>						
b <b>SETTLEMENT</b>			01	255.		
c						
d						
e						
12 Subtotal. Add columns (b), (d), and (e)		1,522.		6,185,631.		2,600.
13 Total. Add line 12, columns (b), (d), and (e)						6,189,753.

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

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

[illegible]



**Underpayment of Estimated Tax by Corporations**

▶ Attach to the corporation's tax return.

**FORM 990-PF**▶ Information about Form 2220 and its separate instructions is at [www.irs.gov/form2220](http://www.irs.gov/form2220).**2016**

Name <b>THE J.M. KAPLAN FUND, INC.</b>	Employer identification number <b>13-6090286</b>
-------------------------------------------	-----------------------------------------------------

**Note:** Generally, the corporation isn't required to file Form 2220 (see Part II below for exceptions) because the IRS will figure any penalty owed and bill the corporation. However, the corporation may still use Form 2220 to figure the penalty. If so, enter the amount from page 2, line 38 on the estimated tax penalty line of the corporation's income tax return, but **do not** attach Form 2220.

**Part I Required Annual Payment**

1 Total tax (see instructions) .....	1	34,632.
2a Personal holding company tax (Schedule PH (Form 1120), line 26) included on line 1 .....	2a	
2b Look-back interest included on line 1 under section 460(b)(2) for completed long-term contracts or section 167(g) for depreciation under the income forecast method .....	2b	
2c Credit for federal tax paid on fuels (see instructions) .....	2c	
d Total. Add lines 2a through 2c .....	2d	
3 Subtract line 2d from line 1. If the result is less than \$500, <b>do not</b> complete or file this form. The corporation doesn't owe the penalty .....	3	34,632.
4 Enter the tax shown on the corporation's 2015 income tax return. See instructions. <b>Caution: If the tax is zero or the tax year was for less than 12 months, skip this line and enter the amount from line 3 on line 5</b> .....	4	77,291.
5 <b>Required annual payment.</b> Enter the <b>smaller</b> of line 3 or line 4. If the corporation is required to skip line 4, enter the amount from line 3 .....	5	34,632.

**Part II Reasons for Filing** - Check the boxes below that apply. If any boxes are checked, the corporation **must** file Form 2220 even if it doesn't owe a penalty. See instructions.

- 6 ☐ The corporation is using the adjusted seasonal installment method.
- 7 ☐ The corporation is using the annualized income installment method.
- 8 ☒ The corporation is a "large corporation" figuring its first required installment based on the prior year's tax.

**Part III Figuring the Underpayment**

	(a)	(b)	(c)	(d)
9 <b>Installment due dates.</b> Enter in columns (a) through (d) the 15th day of the 4th ( <b>Form 990-PF filers:</b> Use 5th month), 6th, 9th, and 12th months of the corporation's tax year .....	9 05/15/16	06/15/16	09/15/16	12/15/16
10 <b>Required installments.</b> If the box on line 6 and/or line 7 above is checked, enter the amounts from Sch A, line 38. If the box on line 8 (but not 6 or 7) is checked, see instructions for the amounts to enter. If none of these boxes are checked, enter 25% (0.25) of line 5 above in each column. ....	10 8,658.	8,658.	8,658.	8,658.
11 Estimated tax paid or credited for each period. For column (a) only, enter the amount from line 11 on line 15. See instructions .....	11 242,709.			
<b>Complete lines 12 through 18 of one column before going to the next column.</b>				
12 Enter amount, if any, from line 18 of the preceding column .....	12	234,051.	225,393.	216,735.
13 Add lines 11 and 12 .....	13	234,051.	225,393.	216,735.
14 Add amounts on lines 16 and 17 of the preceding column .....	14			
15 Subtract line 14 from line 13. If zero or less, enter -0- .....	15 242,709.	234,051.	225,393.	216,735.
16 If the amount on line 15 is zero, subtract line 13 from line 14. Otherwise, enter -0- .....	16	0.	0.	
17 <b>Underpayment.</b> If line 15 is less than or equal to line 10, subtract line 15 from line 10. Then go to line 12 of the next column. Otherwise, go to line 18 .....	17			
18 <b>Overpayment.</b> If line 10 is less than line 15, subtract line 10 from line 15. Then go to line 12 of the next column .....	18 234,051.	225,393.	216,735.	

Go to **Part IV** on page 2 to figure the penalty. Do not go to **Part IV** if there are no entries on line 17 - no penalty is owed.

LHA For Paperwork Reduction Act Notice, see separate instructions.

Form 2220 (2016)

**Part IV Figuring the Penalty**

	(a)	(b)	(c)	(d)
<b>19</b> Enter the date of payment or the 15th day of the 4th month after the close of the tax year, whichever is earlier. <i>(C Corporations with tax years ending June 30 and S corporations: Use 3rd month instead of 4th month. Form 990-PF and Form 990-T filers: Use 5th month instead of 4th month.)</i> See instructions .....	<b>19</b>			
<b>20</b> Number of days from due date of installment on line 9 to the date shown on line 19 .....	<b>20</b>			
<b>21</b> Number of days on line 20 after 4/15/2016 and before 7/1/2016 .....	<b>21</b>			
<b>22</b> Underpayment on line 17 x $\frac{\text{Number of days on line 21} \times 4\% (0.04)}{366}$ ...	<b>22</b>	\$	\$	\$
<b>23</b> Number of days on line 20 after 06/30/2016 and before 10/1/2016 ...	<b>23</b>			
<b>24</b> Underpayment on line 17 x $\frac{\text{Number of days on line 23} \times 4\% (0.04)}{366}$ ...	<b>24</b>	\$	\$	\$
<b>25</b> Number of days on line 20 after 9/30/2016 and before 1/1/2017 .....	<b>25</b>			
<b>26</b> Underpayment on line 17 x $\frac{\text{Number of days on line 25} \times 4\% (0.04)}{366}$ ...	<b>26</b>	\$	\$	\$
<b>27</b> Number of days on line 20 after 12/31/2016 and before 4/1/2017 ...	<b>27</b>			
<b>28</b> Underpayment on line 17 x $\frac{\text{Number of days on line 27} \times 4\% (0.04)}{365}$ ...	<b>28</b>	\$	\$	\$
<b>29</b> Number of days on line 20 after 3/31/2017 and before 7/1/2017 .....	<b>29</b>			
<b>30</b> Underpayment on line 17 x $\frac{\text{Number of days on line 29} \times \%}{365}$ .....	<b>30</b>	\$	\$	\$
<b>31</b> Number of days on line 20 after 6/30/2017 and before 10/1/2017 ...	<b>31</b>			
<b>32</b> Underpayment on line 17 x $\frac{\text{Number of days on line 31} \times \%}{365}$ .....	<b>32</b>	\$	\$	\$
<b>33</b> Number of days on line 20 after 9/30/2017 and before 1/1/2018 .....	<b>33</b>			
<b>34</b> Underpayment on line 17 x $\frac{\text{Number of days on line 33} \times \%}{365}$ .....	<b>34</b>	\$	\$	\$
<b>35</b> Number of days on line 20 after 12/31/2017 and before 3/16/2018 ...	<b>35</b>			
<b>36</b> Underpayment on line 17 x $\frac{\text{Number of days on line 35} \times \%}{365}$ .....	<b>36</b>	\$	\$	\$
<b>37</b> Add lines 22, 24, 26, 28, 30, 32, 34, and 36 .....	<b>37</b>	\$	\$	\$
<b>38 Penalty.</b> Add columns (a) through (d) of line 37. Enter the total here and on Form 1120, line 33; or the comparable line for other income tax returns .....	<b>38</b>	\$		0.

\* Use the penalty interest rate for each calendar quarter, which the IRS will determine during the first month in the preceding quarter. These rates are published quarterly in an IRS News Release and in a revenue ruling in the Internal Revenue Bulletin. To obtain this information on the Internet, access the IRS website at [www.irs.gov](http://www.irs.gov). You can also call 1-800-829-4933 to get interest rate information.



## FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
INTEREST ON SAVINGS	328.	328.	
TOTAL TO PART I, LINE 3	328.	328.	

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
DIVIDENDS AND INTEREST	1,858,923.	0.	1,858,923.	1,856,852.	
INTEREST ON NOTES RECEIVABLE	45,057.	0.	45,057.	45,057.	
INTEREST PIMCO	146,354.	0.	146,354.	146,354.	
INTEREST-AGL	344.	0.	344.	344.	
INTEREST-KAPLAN CHOATE	652.	0.	652.	652.	
TO PART I, LINE 4	2,051,330.	0.	2,051,330.	2,049,259.	

## FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
PARTNERSHIP INCOME	1,370,892.	1,265,416.	
PRI INTEREST	2,600.	2,600.	
SECURITIES LITIGATION SETTLEMENT	255.	255.	
TOTAL TO FORM 990-PF, PART I, LINE 11	1,373,747.	1,268,271.	

FORM 990-PF	LEGAL FEES			STATEMENT	4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
LEGAL FEES-PATTERSON BELKNAP WEBB & TYLER LLP	38,146.	0.		32,801.	
TO FM 990-PF, PG 1, LN 16A	38,146.	0.		32,801.	

FORM 990-PF	ACCOUNTING FEES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
ACCOUNTING FEES-PKF O'CONNOR DAVIES	65,589.	0.		53,701.	
TO FORM 990-PF, PG 1, LN 16B	65,589.	0.		53,701.	

FORM 990-PF	OTHER PROFESSIONAL FEES			STATEMENT	6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
MANAGEMENT FEES	604,269.	604,269.		0.	
CONSULTANTS AND STIPENDS	172,183.	0.		169,613.	
TO FORM 990-PF, PG 1, LN 16C	776,452.	604,269.		169,613.	

FORM 990-PF	TAXES			STATEMENT	7
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
FEDERAL EXCISE TAX	49,037.	0.		0.	
FOREIGN TAXES	53,740.	53,738.		0.	
STATE TAXES ON UBI	250.	0.		0.	
TO FORM 990-PF, PG 1, LN 18	103,027.	53,738.		0.	

FORM 990-PF	OTHER EXPENSES			STATEMENT	8
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
INSURANCE	24,915.	7,475.		19,775.	
TELEPHONE	16,614.	4,984.		13,059.	
SUPPLIES	26,559.	7,968.		18,114.	
REPAIRS AND MAINTENANCE	15,381.	3,454.		7,034.	
INNOVATION PRIZE EXPENSE	254,458.	0.		249,005.	
MEMBERSHIP DUES AND FEES	41,736.	0.		45,286.	
MISCELLANEOUS OFFICE EXPENSE	17,489.	5,247.		20,025.	
PAYROLL PROCESSING FEES	3,065.	920.		2,146.	
BANK CHARGES	969.	969.		0.	
MESSENGERS	349.	105.		254.	
FEDERAL EXPRESS	2,017.	605.		1,484.	
OTHER EXPENSES	15,793.	4,738.		11,055.	
FILING FEES	1,500.	0.		1,500.	
OTHER PORTFOLIO EXPENSES THROUGH K-1S	1,415,901.	1,719,115.		0.	
TO FORM 990-PF, PG 1, LN 23	1,836,746.	1,755,580.		388,737.	

FORM 990-PF	CORPORATE BONDS		STATEMENT	9
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE		
P F LIFE ASSURANCE COMPANY	1,980,156.	1,980,156.		
TOTAL TO FORM 990-PF, PART II, LINE 10C	1,980,156.	1,980,156.		

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	10
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
PIMCO LOW DURATION FUND-SEE ATTACHMENT A	FMV	7,309,818.	7,309,818.
HEDGED EQUITIES-SEE ATTACHMENT A	FMV	97,297,815.	97,297,815.
REAL ESTATE AND REAL ASSETS-SEE ATTACHMENT A	FMV	1,490,254.	1,490,254.
LIQUIDATING ASSETS-SEE ATTACHMENT A	FMV	39,006.	39,006.
PRIVATE EQUITY-SEE ATTACHMENT A	FMV	17,614,154.	17,614,154.
TOTAL TO FORM 990-PF, PART II, LINE 13		123,751,047.	123,751,047.

FORM 990-PF	DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT	STATEMENT	11
DESCRIPTION	COST OR OTHER BASIS	ACCUMULATED DEPRECIATION	BOOK VALUE
LEASEHOLD IMPROVEMENTS	1,975,277.	501,141.	1,474,136.
FURNITURE AND FIXTURES	355,291.	115,314.	239,977.
EQUIPMENT	66,042.	60,694.	5,348.
ART & ANTIQUES	61,003.	0.	61,003.
TOTAL TO FM 990-PF, PART II, LN 14	2,457,613.	677,149.	1,780,464.

FORM 990-PF	OTHER ASSETS	STATEMENT	12
DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
PROGRAM RELATED INVESTMENT	260,000.	260,000.	260,000.
PREPAID FEDERAL EXCISE TAX	125,593.	151,355.	151,355.
SECURITY DEPOSIT	54,977.	54,977.	54,977.
DISTRIBUTION RECEIVABLE	104,489.	0.	0.
ARTWORK	61,003.	61,003.	61,003.
TO FORM 990-PF, PART II, LINE 15	606,062.	527,335.	527,335.

FORM 990-PF	OTHER LIABILITIES	STATEMENT	13
DESCRIPTION	BOY AMOUNT	EOY AMOUNT	
DEFERRED EXCISE TAX LIABILITY	864,500.	919,569.	
TOTAL TO FORM 990-PF, PART II, LINE 22	864,500.	919,569.	

DRAFT

FORM 990-PF EXPENDITURE RESPONSIBILITY STATEMENT STATEMENT 14  
PART VII-B, LINE 5C

GRANTEE'S NAME  
SEE ATTACHMENT D  
GRANTEE'S ADDRESS

GRANT AMOUNT DATE OF GRANT AMOUNT EXPENDED

PURPOSE OF GRANT

DRAFT

**THE J.M. KAPLAN FUND, INC.**  
**EIN # 13-6090286**  
**December 31, 2016**

Pursuant to Reg. 53.4942(a)-3(c)(2)(iv), the Foundation hereby elects to treat, as a current corpus distribution, the following unused prior tax years' distributions that were treated as corpus distributions under Reg. 53.4942(a)-3(d)(1)(iii) in such prior tax years:

<u>Tax Year</u>	<u>Amount</u>
2011	\$ 7,500

DRAFT

The J.M. Kaplan Fund, Inc.  
EIN#: 13-6090286  
Portfolio Holdings  
December 31, 2016

	<u>Market Value</u>
<b>Mutual Fund</b>	
PIMCO Low Duration Instl (PTDLX)- See attachment A-1	7,309,818
<b>Sub-total Mutual Fund</b>	<u>\$ 7,309,818</u>
 <b>Hedge Funds</b>	
Brandywine Global	35,508,792
Brookside Capital	250,061
Spindrift	68,032
Brandywine Multi Strategy	54,808,275
Farallon Capital	75,925
Colchester Bond Fund L.P.	6,412,287
Sun Capital	174,443
<b>Sub-total Hedge Funds</b>	<u>\$ 97,297,815</u>
 <b>Real Estate and Real Assets</b>	
Avanti Investors L.P. II-Active	7,840
Avanti Investors L.P. III-Active	(354,515)
Avanti Investors L.P. IV-Active	(203,628)
Avanti II Strategic	1,487
Avanti III Strategic	21,068
Avanti IV Strategic	48,154
Metropolitan RE Partners Global	729,095
Metropolitan Real Estate	540,492
Metropolitan RE Partners Intl II	522,011
Metropolitan RE V	178,250
<b>Sub-total Real Estate and Real Assets</b>	<u>\$ 1,490,254</u>
 <b>Liquidating Assets</b>	
Prospect Harbor	39,006
<b>Sub-total Liquidating Assets</b>	<u>\$ 39,006</u>
 <b>Private Equity</b>	
Brandywine P.E. 2011	2,459,384
Brandywine P.E. 2012	2,002,605
Brandywine P.E. 2013	812,563
Brandywine P.E. 2013-A	198,480
Brandywine P.E. 2014	509,883
Brandywine P.E. 2016	413,662
Juniper Partners	76,396
Keyhaven Capital	692,223
Cyprium Investors III	115,728
Paul Capital VIII	310,239
Special Opportunity Fund IV	894,748
TCV IV	1,129
TCV V	414,195
Varde Fund VIII	134,103
Varde Fund IX	304,704
Venture Investment Associates	249,241
Venture Investment Associates V	841,904
Venture Investment Associates VI	1,692,886
Asia Capital (AACP Debt Investors)	1,284,150
Special Opportunity Fund	736,137
Dover Street VI	596,902
AACP Tax Exempt Investors II	2,872,892
<b>Sub-total Private Equity</b>	<u>\$ 17,614,154</u>
 <b>Total Investments</b>	<u><u>123,751,047</u></u>



# THE JM KAPLAN FUND, INC. - PIMCO

## LOW DURATION FUND



### Asset Detail

Units	Cost	Price	Market	% Acct	Estimated Annual Inc	Yld at Mkt
<u>CASH AND EQUIVALENTS</u>						
INCOME CASH	0		0.00	0.00 %		
PRINCIPAL CASH	0		0.00	0.00 %		
TOTAL CASH AND EQUIVALENTS	0		0.00	0.00 %	0.00	0.00
<u>FIXED INCOME</u>						
742,113.452 PIMCO LOW DURATION FUND - INST	7,683,042	985.000	7,309,817.50	100.00 %	147,680.58	2.02
TOTAL FIXED INCOME	7,683,042		7,309,817.50	100.00 %	147,680.58	2.02
GRAND TOTAL	7,683,042		7,309,817.50	100.00 %	147,680.58	2.02

**The J.M. Kaplan Fund, Inc.**  
**December 31, 2016**  
**EIN # 13-6090286**  
**Realized Gains/(Losses)**

	<u>Gains/(Losses)</u>
ASIA ALTERNATIVES DELAWARE II, LP	(6,799)
AVANTI STRATEGIC LAND INVESTORS II (PASSIVE), LP	12,582
BRANDYWINE PRIVATE EQUITY PTRS 2011 LP	45,225
BRANDYWINE PRIVATE EQUITY PTRS 2012 LP	(8,716)
BRANDYWINE PRIVATE EQUITY PTRS 2013 LP	27,397
BRANDYWINE PRIVATE EQUITY PTRS 2014 LP	1,843
BRANDYTRUST GLOBAL PARTNERS, LP	(174,278)
BRANDYTRUST MULTI-STRATEGY PARTNERS, LP	1,275,087
CAPITAL Z FINANCIAL SERVICES FUND II, LP	(6,101)
COLCHESTER GLOBAL BOND FUND	52,956
CYPRUM INVESTORS II, LP	(1,205)
CYPRUM INVESTORS III, LP	(54,521)
FARRALLON CAPITAL INSTITUTIONAL PARTNERS, LP	11,384
KEYHAVEN CAPITAL PARTNERS II, LP	14,128
PAUL CAPITAL PARTNERS VIII-A, LP	(44,020)
SPECIAL OPPORTUNITIES FUND IV PRIVATE EQUITY, LP	197,924
METROPOLITAN REAL ESTATE PARTNERS GLOBAL II, LP	120,982
METROPOLITAN REAL ESTATE PARTNERS INTL II, LP	(6,845)
METROPOLITAN REAL ESTATE PARTNERS IV-A, LP	32,981
METROPOLITAN REAL ESTATE PARTNERS V, LP	33,007
TCV IV, LP	(501)
TCV V, LP	7,811
THE VARDE FUND VIII, LP	(10,055)
THE VARDE FUND IX, LP	9,426
VENTURE INVESTMENT ASSOCIATES IV, LP	38,205
VENTURE INVESTMENT ASSOCIATES V, LP	175,952
VENTURE INVESTMENT ASSOCIATES VI, LP	165,271
AACP DEBT INVESTORS, LP	431,467
SPECIAL OPPORTUNITIES FUND III, LTD	208,827
SPINDRIFT, LTD	73,598
BROOKSIDE CAYMAN, LIMITED	148,852
<b>Total Realized Gains/(Losses)</b>	<u><u>2,771,864</u></u>

**The J.M. Kaplan Fund, Inc.**  
**EIN# 13-6090286**  
**Information about Officers, Directors, Trustees**  
**For the year ended**  
**December 31, 2016**

<u>TRUSTEE/Address</u>	<u>Hours Worked/Wk</u>	<u>Contributions to "EE" Benefit Plans</u>	<u>Expense Account</u>	<u>Compensation</u>
<b>Note:</b> The mailing address for All Trustees is:  C/o The J.M Kaplan Fund, Inc. 71 West 23 <sup>rd</sup> Street, 9 <sup>th</sup> Floor New York, NY 10010				
<b>Joan Davidson, Trustee</b>	3-5	None	None	5,000
<b>Elizabeth K. Fonseca, Trustee</b>	3-5	None	None	5,000
<b>Mary E. Kaplan, Trustee</b>	3-5	None	None	5,000
<b>Richard D. Kaplan, Trustee</b> (Deceased in January 2016)	3-5	None	None	-0-
<b>J. Matthew Davidson, Trustee</b>	3-5	None	None	10,000
<b>Brad Davidson, Trustee</b>	3-5	None	None	9,000
<b>Elizabeth Davidson Pickering, Trustee</b>	3-5	None	None	10,000
<b>Peter Davidson, Trustee</b>	3-5	None	None	10,000
<b>Caio Fonseca, Trustee</b>	3-5	None	None	7,000
<b>Isabel Fonseca, Trustee</b>	3-5	None	None	10,000
<b>Quina Fonseca, Trustee</b>	3-5	None	None	10,000
<b>Amy Freitag, Secretary and Executive Director</b>	40	\$55,843	None	242,756
		<u>\$55,843</u>	<u>\$ -0-</u>	<u>\$323,756</u>

**The J.M. Kaplan Fund, Inc.**  
**EIN: 13-6090286**  
**Attachment to 2016 Form 990 PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

(1) **Grantee:** **The Conservation Land Trust, Inc.**  
**1606 Union Street,**  
**San Francisco, CA 94123**

(2) **Amount and Date Paid:** \$50,000 paid on April 18, 2016

(3) **Total paid:** \$50,000

(4) **Purpose of Grant:** For the ongoing support of The Walters Art Museum.

(5) **Amount of Grant Spent by Grantee:** \$50,000

(6) **Diversion:** To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.

(7) **Date of Report Received from Grantee:** March 30, 2017

(8) The J.M. Kaplan Fund, Inc. reviewed the grant report in March of 2017, but will not undertake any verification of the grantee's reports as there has not been any reason to doubt their accuracy or reliability (Reg. 53.4945-5 © ).

(1) **Grantee:** **J. Paul Getty Trust- Getty Research Institute**  
**1200 Getty Center Drive, Suite 1100**  
**Los Angeles, CA 90049**

(2) **Amount and Date Paid:** \$5,000 paid on August 15, 2016

(3) **Total paid:** \$5,000

(4) **Purpose of Grant:** Trust has been approved for the book, "The Los Angeles Central Library: Building an Architectural Icon, 1872-1933".

(5) **Amount of Grant Spent by Grantee:** \$5,000

(6) **Diversion:** To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.

(7) **Date of Report Received from Grantee:** August 15, 2017

(8) The J.M. Kaplan Fund, Inc. reviewed the grant report in August of 2017, but will not undertake any verification of the grantee's reports as there has not been any reason to doubt their accuracy or reliability (Reg. 53.4945-5 © ).

**The J.M. Kaplan Fund, Inc.**  
**EIN: 13-6090286**  
**Attachment to 2016 Form 990 PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

(1) **Grantee:** Evergreen Review  
137 West 14th Street  
New York, NY 10011

(2) **Amount and Date Paid:** \$5,000 paid on June 30, 2016

(3) **Total paid:** \$5,000

(4) **Purpose of Grant:** Evergreen Publishing

(5) **Amount of Grant Spent by Grantee:** \$5,000

(6) **Diversion:** To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.

(7) **Date of Report Received from Grantee:** Received by December 31, 2016

(8) The J.M. Kaplan Fund, Inc. reviewed the grant report when received, but will not undertake any verification of the grantee's reports as there has not been any reason to doubt their accuracy or reliability (Reg. 53.4945-5 © ).

**Information with Respect to Expenditure Responsibility Grants**

(1) **Grantee:** Terreform Inc.  
180 Varrick Street  
New York, NY 10014

(2) **Amount and Date Paid:** \$2,500 paid on June 30, 2016

(3) **Total paid:** \$2,500

(4) **Purpose of Grant:** For the book, " Zoned Out: Race, Displacement and City Planning in New York City"

(5) **Amount of Grant Spent by Grantee:** \$2,500

(6) **Diversion:** To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.

(7) **Date of Report Received from Grantee:** Received by December 31, 2016

(8) The J.M. Kaplan Fund, Inc. reviewed the grant report when received, but will not undertake any verification of the grantee's reports as there has not been any reason to doubt their accuracy or reliability (Reg. 53.4945-5 © ).

**The J.M. Kaplan Fund, Inc.**  
**EIN: 13-6090286**  
**Attachment to 2016 Form 990 PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

- (1) **Grantee:** Open Space Institute  
1350 Broadway  
New York, NY 10018
- (2) **Amount and Date Paid:** \$260,000 paid on May 1997
- (3) **Total paid:** \$260,000
- (4) **Purpose of Grant:** Open Space Institute revolving loan fund.
- (5) **Amount of Grant Spent by Grantee:** \$260,000
- (6) **Diversion:** To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.
- (7) **Date of Report Received from Grantee:** Received in May 2016.

(8) The J.M. Kaplan Fund, Inc. reviewed the grant report in May of 2016, but will not undertake any verification of the grantee's reports as there has not been any reason to doubt their accuracy or reliability (Reg. 53.4945-5 (c) ).

The J.M. Kaplan Fund, Inc.  
 EIN# 13-6090286  
 Grants Paid  
 December 31, 2016

Organization Name	Status	Grant/Project Description	Grant Total Paid	Organization Address
350.org	PC	General Operating Support	11,000	20 Jay Street; Suite 732; Brooklyn
A Closer Look, Inc.	PC	Children of the Inquisition	20,000	17 Vandam Street, Ground Floor; New York
ACE Programs for the Homeless	PC	Richard D. Kaplan ICT Career Lab and Project Comeback	50,000	598 Broadway, 7th Floor; New York
Adirondack Council	PC	General Operating Support	5,000	P.O. Box D-2; 103 Hand Ave., #3; Elizabethtown
Adirondack Museum	PC	General Operating Support	5,000	PO Box 99; 9097 State Rte 30; Blue Mountain Lake
Advanced Energy Economy Institute	PC	General Operating Support	10,000	135 Main Street; Suite 1320; San Francisco
Advancing Real Change	PC	ARC is the only project in the country that engages in casework, consultation, and training to educate defense teams on the practice and purpose of life history investigation with the aim of bringing this investigation to every level of the criminal justice system	36,193	500 S Conkling Street, Baltimore, MD
Alliance for Justice	PC	General Operating Support	5,000	11 Dupont Circle NW; Washington
AltaSea at the Port of Los Angeles	PC	General Operating Support	5,000	222 West 6th Street; San Pedro
AltaSea at the Port of Los Angeles	PC	General Operating Support	5,000	222 West 6th Street; San Pedro
AltaSea at the Port of Los Angeles	PC	General Operating Support	5,000	222 West 6th Street; San Pedro
AltaSea at the Port of Los Angeles	PC	General Operating Support	5,000	222 West 6th Street; San Pedro
AltaSea at the Port of Los Angeles	PC	General Operating Support	30,000	222 West 6th Street; San Pedro
American Civil Liberties Union Foundation	PC	General Operating Support	5,000	125 Broad Street; 18th floor; New York
American Community Enrichment	PC	General Operating Support	30,000	150 Technology Lane, Suite 106; Mailbox 3; Elma
American Composers Orchestra	PC	General Operating Support	2,500	244 West 54th Street; Suite 805; New York
American Federation of Arts Inc	PC	Women Artists in Paris, 1850-1900	5,000	305 East 47th Street; 10th Floor; New York
American Folk Art Museum	PC	General Operating Support	2,500	47-29 32nd Place; Long Island City
American Friends of the British Museum, Inc.	PC	Some friends came to see us': Lord Moyne's 1936 expedition to the Asmat	2,500	275 Madison Avenue, 6th Floor; New York
Annapolis Film Festival, Inc.	PC	General Operating Support	1,000	107 Annapolis Street; Suite J; Annapolis
Annapolis Symphony	PC	General Operating Support	1,000	801 Chase St; Suite 204; Annapolis
Annapolis Wellness Corporation	PC	General Operating Support	3,000	2625 Mas Que Farm Road; Annapolis
Aperture Foundation, Inc.	PC	Feast for the Eyes: The Story of Food in Photography	5,000	547 West 27th Street; 4th Floor; New York
Arundel Community Development Services, Inc.	PC	Ardath M Cade Scholarship Fund	1,500	2666 Riva Road; Suite 210; Annapolis
Ballet Theatre of Maryland	PC	General Operating Support	5,000	801 Chase Street; Annapolis
Baltimore STEAM, Inc.	PC	General Operating Support	2,500	19400 Grave Run Road; Hampstead
Bard College	PC	"Giacomo Puccini and His World"	2,500	30 Campus Road; PO Box 5000; Annandale-on-Hudson
Bard Prison Initiative	PC	General Operating Support	9,000	PO Box 5000; Annandale on Hudson
Bay2Tray	PC	bringing sustainable seafood to school lunches, for childrens health and our future	25,000	23532 Calabasas Road, Calabasas, CA
Behold New Lebanon	PC	create new opportunities in rural America that keeps folks in our small towns and reignites economic growth across the nation.	25,000	438 NY Route 20, New Lebanon, NY
Bikemore	PC	General Operating Support	2,500	2209 Maryland Avenue; Baltimore
Black Rock Forest Consortium	PC	General Operating Support	10,000	65 Reservoir Road; Cornwall
Board of Trustees of Leland Stanford	PC	The Stanford Fund for Undergraduate Studies	19,000	326 Galvez Street, Stanford, CA 94086
Bowdoin College	PC	Why Draw? 500 Years of Drawings and Watercolors at Bowdoin College	3,500	5800 College Station; Brunswick
Brennan Center for Justice	PC	Voting Rights Project	4,800	120 Broadway, Suite 1750; New York
Brooklyn Academy of Music	PC	General Operating Support	5,000	30 Lafayette Avenue; Peter Jay Sharp Building; Brooklyn
Brooklyn Academy of Music	PC	General Operating Support	5,000	30 Lafayette Avenue; Peter Jay Sharp Building; Brooklyn
Brooklyn Botanic Garden	PC	General Operating Support	5,000	1000 Washington Avenue; Brooklyn
Brooklyn Community Foundation	PC	Brooklyn Restorative Justice Project	20,000	1000 Dean Street; Suite 307; Brooklyn

The J.M. Kaplan Fund, Inc.  
 EIN# 13-6090286  
 Grants Paid  
 December 31, 2016

Organization Name	Status	Grant/Project Description	Grant Total Paid	Organization Address
Brooklyn Community Foundation	PC	General Operating Support	5,000	1000 Dean Street; Suite 307; Brooklyn
Brooklyn Historical Society	PC	General Operating Support	6,000	128 Pierrepont Street; Brooklyn
Brooklyn Kindergarten Society	PC	Weeksville Gardens Children's Center/Community Center	10,000	57 Willoughby ST., 4th Fl; Brooklyn
Brooklyn Museum of Art	PC	General Operating Support	5,000	200 Eastern Parkway; Brooklyn
Brooklyn Public Library	PC	Clinton Hill Library Programming	5,000	10 Grand Army Plaza; Brooklyn
Brooklyn Rail Inc	PC	Crowded By Beauty: Interviews with Artists from the Brooklyn Rail	4,000	253 36th Street, Unit 20; Suite C304; Brooklyn
Center for NuLeadership on Urban Solutions	PC	General Operating Support	40,000	510 Gates Avenue, 1st Floor; Brooklyn
Center for Reproductive Rights	PC	General Operating Support	5,000	199 Water Street; 22nd Floor; New York
Center for Reproductive Rights	PC	General Operating Support	5,000	199 Water Street; 22nd Floor; New York
Center of Help	PC	General Operating Support	2,500	1906 Forest Drive, Suite 2B; Annapolis
Central American Refugee Center - CARECEN NY	PC	General Operating Support	4,000	91 N. Franklin St., Suite 208; Hempstead
Challenge Aspen	PC	General Operating Support	8,000	PO Box 6639; Snowmass Village
Chancellor Masters & Scholars of the Univ of Oxford - Oxford University Press	PC	Loss and Ambition at Ground Zero	6,000	198 Madison Avenue, 10th Floor; New York
Chancellor Masters & Scholars of the Univ of Oxford - Oxford University Press	PC	Gotham II	4,000	198 Madison Avenue, 10th Floor; New York
Chesapeake Bay Foundation	PC	General Operating Support	1,000	6 Herndon Avenue; Annapolis
Chicago Public Media	PC	General Operating Support	5,000	848 E. Grand Avenue; 3rd Floor; Chicago
Children's Health Fund	PC	Terra Firma	5,000	215 West 125th Street; Suite 301; New York
Children's Health Fund	PC	Terra Firma	50,000	215 West 125th Street; Suite 301; New York
Chore Service Inc.	PC	General Operating Support	300	322 Main Street; PO Box 522; Lakeville
Christodora	PC	General Operating Support	5,000	One East 53rd St. #1401; New York
City Parks Alliance	PC	New York City Team Scholarships for Greater & Greener 2017 International Urban Parks Conference	15,000	2121 Ward Ct., NW, Fifth Floor; Washington
City Parks Foundation	PC	CityParks Tennis Program	5,000	830 Fifth Avenue; New York
Civitas	PC	General Operating Support	2,500	1457 Lexington Avenue; New York
Clean Water Fund	PC	Massachusetts Campaign for a Clean Energy Future	65,000	88 Broad St.; Lower Level; Boston
Close Encounters With Music	PC	Summer residency for international musicians at Catskill High Peaks Festiv., educational arm of CEWM	2,500	PO Box 34; Great Barrington
Columbia County Historical Society, Inc.	PC	General Operating Support	5,000	5 Albany Avenue; P.O. Box 311; Kinderhook
Columbia Land Conservancy	PC	General Operating Support	10,000	49 Main Street; Chatham
Columbia Land Conservancy	PC	General Operating Support	2,500	49 Main Street; Chatham
Columbia-Greene Hospital Foundation	PC	General Operating Support	2,500	71 Prospect Avenue; Hudson
Columbus Museum of Art	PC	Subversion and Surrealism in the Art of Honoré Sharrer	4,000	480 East Broad Street; Columbus
Committee to Protect Journalists	PC	General Operating Support	5,000	330 7th Avenue; 11th Floor; New York
Community Connections for Youth, Inc.	PC	General Operating Support	50,000	369 East 149th Street; 7th Floor; Bronx
Community Foundation of Anne Arundel County, Inc.	PC	Anne Arundel Women Giving Together	1,500	914 Bay Ridge Road, Suite 220; Annapolis
Community Initiatives for Visiting Immigrants in Confinement	PC	General Operating Support	20,000	P.O. Box 40677; San Francisco
Compass Rose Theater	PC	General Operating Support	1,000	PO Box 4152; Annapolis
Concord Academy	PC	Janet Eisendrath Scholarship Fund	5,000	166 Main Street, Concord, MA
Contemporaneous	PC	General Operating Support	1,000	P.O. Box 275; New York
Cookies for Kids Cancer	PC	General Operating Support	150	PO Box 415; Califon
Council on the Environment, Inc. d/b/a GrowNYC	PC	General Operating Support	10,000	100 Gold St. ; Suite 3300; New York
Countryside Conservancy	PC	General Operating Support	450	2179 Everett Road; Peninsula



**The J.M. Kaplan Fund, Inc.**  
**EIN# 13-6090286**  
**Grants Paid**  
**December 31, 2016**

Organization Name	Status	Grant/Project Description	Grant Total Paid	Organization Address
Co-Worker.Org	PC	Coworker.org is a platform that connects people to one another in order to influence their working conditions	25,000	1330 Broadway, Suite 300, Oakland, CA
Critical Review	PC	General Support – Final installment of \$90,000 grant	45,000	1222 Third Avenue, Iowa City, IA
Cyrus R. Vance Center for International Justice	PC	General Operating Support	10,000	42 West 44th Street; New York
Deep Sea Conservation	PC	Protecting the Deep Sea through Developing Comprehensive Environmental Regulations for Seabed Mining	90,000	Amsterdam, Netherlands
DonorsChoose.org	PC	General Operating Support - Ms. Bogue Response to Literature through Art	75	134 West 37th Street, Floor 11; Floor 11; New York
Drive Change	PC	General Operating Support	75,000	630 Flushing Avenue; Brooklyn
ENABLE COMMUNITY FOUNDATION	PC	General Operating Support	-	ENABLECOMMUNITY FOUNDATION; 5912 TURNSTONE CT; WILMINGTON
Enable Community Foundation	PC	empowering internet-connected problem-solvers to use 21st century means of production to address the needs of underserved populations	25,000	730 Bicknell Road, Los Gatos, CA
Ensemble Studio Theatre	PC	General Operating Support	120,000	549 West 52nd Street; New York
Environmental Advocates of New York	PC	General Operating Support	2,500	353 Hamilton St; Albany
Environmental Justice	pc	To examine the suitability of SimpleWater's new water treatment technology	20,000	P.O. Box 188911, Sacramento, CA
Epic Theatre Center, Inc	PC	General Operating Support	10,000	55 W. 39th Street; Suite 302; New York
Essential Information	PC	General Operating Support	150,000	1530 P Street, NW; Suite 105; Washington
Essential Information	PC	General Support	40,000	1530 P Street, NW; Suite 105; Washington
Essie Justice Group	PC	Essie's innovative idea is to alleviate suffering and bring about lasting social change by harnessing the collective power of women with incarcerated loved ones.	25,000	300 Frank H. Ogawa Plaza, Oakland, CA
European Climate Foundation	PC	Phasing out Coal Power in Chile	100,000	Rivierismarkt, 5, 2513 AM The Hague, Netherlands
Evergreen Review	PF	For Evergreen Publishing	5,000	137 West 14th Street, New York, NY 10011
Food Link, Inc.	PC	General Operating Support	1,000	2666 Riva Road #390; Annapolis
FORCE: Upsetting Rape Culture	PC	FORCE: Upsetting Rape Culture General Operating Support	2,500	120 W North Ave; #205; Baltimore
ForestEthics	PC	General Operating Support	75,000	One Haight Street; San Francisco
Four Freedoms Park Conservancy	PC	General Operating Support	5,000	1110 2nd Ave Suite 301; New York
Four Nations Inc	PC	General Operating Support	5,000	PO Box 1112; Hudson
Fractured Atlas, Inc.	PC	Amanda + James	5,000	248 W 35th St 10th Floor; New York
Fractured Atlas, Inc.	PC	The Ear	25,000	248 W 35th St 10th Floor; New York
Fractured Atlas, Inc.	PC	Mise-en-Scene-Studios	10,000	248 W 35th St 10th Floor; New York
Fractured Atlas, Inc.	PC	Mise--En--Scène Studios	10,000	248 W 35th St 10th Floor; New York
Fractured Atlas, Inc.	PC	The Ear	10,000	248 W 35th St 10th Floor; New York
Fractured Atlas, Inc.	PC	The Ear Initiative	20,000	248 West 35th Street, New York, NY 10001
Frazier History Museum	PC	Kentucky by Design: The Decorative Arts and American Culture	25,000	829 West Main Street; Louisville
Friends of Bonobos	PC	General Operating Support	5,000	1117 San Patricio Drive; Solana Beach
Friends of Clermont	PC	General Operating Support	5,000	87 Clermont Ave; Germantown
Friends of Hudson River Park, Inc.	PC	PLAY BETTER Mobile Application (App) Project	75,000	305 7th Avenue; 12th Floor; New York
Friends of the Forest Preserve - Adirondack Wild	PC	The Adirondack Park at a Crossroad: A Road Map for Action - Part Two	2,500	P.O. Box 9247; Niskayuna
Friends of the Forest Preserve - Adirondack Wild	PC	General Operating Support	5,000	P.O. Box 9247; Niskayuna
Friends of the Montclair Township Animal Center Inc.	PC	Campaign for Repairs to the Montclair Township Animal Center	450	PO Box 3141; Montclair
Fund for Educational Excellence	PC	Heart of the School Awards	2,500	800 North Charles Street; Suite 400; Baltimore

**The J.M. Kaplan Fund, Inc.**  
**EIN# 13-6090286**  
**Grants Paid**  
**December 31, 2016**

Organization Name	Status	Grant/Project Description	Grant Total Paid	Organization Address
Fund for the City of New York/Center for Court Innovation	PC	Brownsville Community Justice Center	50,000	520 Eighth Avenue; 18th Floor; New York
Fund for the City of New York/Center for Court Innovation	PC	Independent Commission on New York City Criminal Justice and Incarceration Reform	20,000	520 Eighth Avenue; 18th Floor; New York
Fundación Terram	PC	Analysis and Proposals for Improving Public Management of Protected Areas	50,000	Av. Bustamnte 24 dpto I; Dragones de la Reina 581; Santiago
Georgetown University - Georgetown University Press	PC	DC Jazz: A History of Jazz Music in Washington, DC	4,500	3520 Prospect Street, NW; Suite 140; Washington
Getting Out and Staying Out (GOSO)	PC	General Operating Support	50,000	75 East 116th Street; New York
Getting the Word Out, Inc. - Adirondack Explorer	PC	12 Adventures on New State Lands	3,500	36 Church Street; Saranac Lake
Gilman School	PC	The Gilman Fund	5,000	5407 Roland Avenue; Baltimore
Global Detroit	PC	Welcoming Economies Global Network	65,000	4444 Second Avenue; Detroit
Global Impact	PC	General Operating Support	5,000	1199 North Fairfax Street, Alexandria, VA
Glynwood	PC	General Operating Support	5,000	P.O. Box 157; Cold Spring
Good Shepherd Services	PC	Academic Career Enhancement (ACE) program	50,000	305 Seventh Avenue; 9th Floor; New York
Gracie Mansion Conservancy	PC	General Operating Support	1,000	East End Ave at 88th Street; New York
Greenwich Village Society for Historic Preservation	PC	General Operating Support	5,000	232 East 11th Street; New York
Green-Wood Historic Fund	PC	General Operating Support	7,000	500 25th Street; Brooklyn
Growing Veterans	PC	Our mission is "To empower military veterans to grow food, communities, and each other." Our vision is "To end the isolation that leads to suicide and to make sustainable agriculture the norm." Using the farm as the catalyst, every day we provide opportunities for veteran peer-support and broader community engagement.	31,517	6458 Martin Place, Lynden, WA 98264
Gulf of Maine Research Institute	PC	General Operating Support	15,000	350 Commercial Street; Portland
Habitat for Humanity International	PC	Global Village trip to Vietnam: Event Code #GV17332; Participant #9102-9881	2,000	121 Habitat Street; Americus
HIAS	PC	The Linking Communities (TLC) Project - Exit Grant	55,000	333 Seventh Avenue, 16th Floor; New York
HIAS	PC	General Operating Support	25,000	333 Seventh Avenue, 16th Floor; New York
Historic Annapolis, Inc.	PC	General Operating Support	5,000	42 East Street; Annapolis
Historic Hudson, Inc.	PC	General Operating Support	2,500	611 Warren Street; Hudson
Hotchkiss Library of Sharon Inc.	PC	General Operating Support	300	10 Upper Main Street, Sharon, CT
Hudson Area Association Library	PC	General Operating Support	5,000	51 N. 5th St; Hudson
Hudson Opera House	PC	General Operating Support	10,000	327 Warren Street; Hudson
Hudson Opera House	PC	General Operating Support	10,000	327 Warren St, Hudson, NY 12534
Hudsonia	PC	General Operating Support	2,500	PO Box 5000; 30 Campus Rd; Annandale
Indigenous Environmental Network	PC	General Operating Support	1,000	P.O. BOX 485, Bemijidi, MN
Institute for Justice	PC	General Operating Support	3,000	901 North Glebe Road; Suite 900; Arlington
Institute for Mediterranean Studies, Inc.	PC	Conservation of Objects from the Grave of the Griffin Warrior at Pylos	20,000	425 Walnut St., Suite 1800; Cincinnati
International Refugee Assistance Project	PC	General Operating Support	25,000	40 Rector Street; 9th Floor; New York
Island Institute	PC	General Operating Support	12,000	386 Main Street Rockland; Rockland
J. Paul Getty Trust - Getty Research Institute	POF	The Los Angeles Central Library: Building an Architectural Icon, 1872-1933	5,000	1200 Getty Center Dr., Suite 1100; Los Angeles
John Brademas Center of New York University	PC	General Operating Support	10,000	53 Washington Square South; room 308; New York
JustLeadershipUSA	PC	#CLOSErikers	75,000	1900 Lexington Avenue; New York

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Kent State University Foundation, Inc. - Kent State University Press	PC	Retired, Rehabbed, Reborn: The Adaptive Reuse of America's Derelict Religious Buildings and Schools	6,000	1125 Risman Drive; 1118 Univ. Library; Kent
Kids in Need of Defense (KIND)	PC	General Operating Support	5,000	1300 L Street NW, Suite 1100; Washington
Lakes to Locks Passage Inc	PC	Northern Reaches of Lake Champlain: Interpretive Guide to the Borderlands of Lakes to Locks Passage	4,000	PO Box 65; Crown Point
Land Art Generator	PC	to design and construct a series of large-scale site-specific public art installations that uniquely combine art with utility-scale clean	28,190	621 Avery Street, Pittsburgh, PA
Landmark West Inc	PC	General Operating Support	2,500	45 West 67th Street; New York
League of Women Voters of Florida	PC	General Operating Support	1,000	540 Beverly Court; Tallahassee
Literacy Inc.	PC	General Operating Support	2,000	5030 Broadway; Suite 641; New York
Literary Classics of the United States Inc DBA Library of America	PC	Albert Murray: Collected Essays & Memoirs	7,000	14 East 60th Street; 11th Floor; New York
Literary Classics of the United States Inc DBA Library of America	PC	General Operating Support	2,500	14 East 60th Street; 11th Floor; New York
Long Island Community Foundation	PC	Long Island Immigrant Children's Fund	20,000	900 Walt Whitman Rd., suite 205; Melville
Make the Road New York	PC	General Operating Support	5,000	301 Grove Street; Brooklyn
Make the Road New York	PC	General Operating Support	40,000	301 Grove Street; Brooklyn
Manhattan Institute for Policy Research	PC	MI Social Entrepreneurship Initiative	100,000	52 Vanderbilt Avenue; New York
Martha Graham Center for Contemporary Dance	PC	General Operating Support	2,500	55 Bethune Street, NY, NY
Maryland Hall for the Creative Arts	PC	General Operating Support	15,000	801 Chase Street; Annapolis
Massachusetts Institute of Technology	PC	Public Space? Lost and Found	6,000	MIT Program in Art, Culture and Technology; 77 Mass Ave, Building E15-212; Cambridge
Massachusetts Museum of Contemporary Art Foundation, Inc.	PC	Nick Cave: Until	5,000	1040 MASS MoCA Way; North Adams
Mayo Clinic	PC	Ocular Oncology Practice at Mayo Clinic in Arizona	40,000	200 1st St SW ; Rochester
Melimoyu Foundation	PC	Creation of the Melimoyu National Park and Extension of the Corcovado National Park	50,000	Francisco Antonio Encina 1781, Dpto 1510; Santiago
Michigan History Foundation Inc Michigan Historical Center Fdn	PC	Michigan Modern: Design That Shaped America	7,000	P.O. Box 12331; 702 West Kalamazoo Street; Lansing
Middlebury College	PC	General Support	1,500	14 Old Chapel Road, Middlebury, VT
Migration Policy Institute	PC	General Operating Support	55,000	1400 16th Street NW; Suite 300; Washington
Montclair Fund for Educational Excellence	PC	General Operating Support	225	22 Valley Road; Montclair
Mount Vernon Place Conservancy	PC	General Operating Support, Mount Vernon Place Conservancy	2,500	901 S. Bond St., Ste. 400; Baltimore
Movement Strategy Center	PC	Gamechanger Labs	15,000	436 14th Street, 5th Floor; Oakland
Movement Strategy Center	PC	Gamechanger Labs	4,000	436 14th Street, 5th Floor; Oakland
National Immigration Law Center	PC	General Operating Support	65,000	3435 Wilshire Boulevard, Suite 2850; Los Angeles
National Institute of Social Sciences	PC	General Operating Support	2,500	PO Box 405; New York
National Partnership for New Americans	PC	General Operating Support	100,000	1818 S. Paulina Street ; Chicago
National Public Radio, Inc.	PC	General Operating Support	2,500	1111 North Capitol Street NE; Washington
Natural Areas Conservancy	PC	New York City Nature Goals 2050 – Phase 2	50,000	1234 Fifth Avenue; New York
Natural Resources Defense Council	PC	General Operating Support	10,000	40 West 20th Street, 11th Floor; New York
Natural Resources Defense Council	PC	Creating a Community Supported Market to “Green” New York City	50,000	40 West 20th Street, 11th Floor; New York
Neighborhood Coalition for Shelter, Inc.	PC	General Operating Support	2,500	50 Broadway; Suite 1301; New York
New Foundation of Hope	PC	General Operating Support	5,000	8146 S. Kedzie ; Chicago
New Foundation of Hope	PC	General Operating Support	5,000	8146 S. Kedzie ; Chicago

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New Leaders	PC	General Operating Support	5,000	1500 Union Avenue; Suite 1400; Baltimore
New Press, Inc.	PC	The New Analog: Listening to Our Senses in a Digital World	4,500	120 Wall Street, 31st Floor; New York
New York Foundation for the Arts	PC	Lucie Pohl: Apohcalypse Now!	25,000	20 Jay Street; Suite 740; Brooklyn
New York Genealogical and Biographical Society	PC	The New York City Municipal Archives: An Authorized Guide for Family Historians	2,500	36 West 44th Street; 7th Floor; New York
New York League of Conservation Voters Education Fund	PC	General Operating Support	5,000	30 Broad Street; 30th Floor; New York
New York Philharmonic	PC	General Operating Support	6,000	10 Lincoln Center Plaza; New York
New York Preservation Archive Project Inc.	PC	General Operating Support	1,500	174 East 80th Street; New York
New York Restoration Project	PC	The Haven Project	25,000	254 West 31st Street, 10th Floor; New York
New York Society Library	PC	General Operating Support	2,500	53 E. 79th Street; New York
New York University - Institute for the Study of the Ancient World	PC	Time and Cosmos in Greco-Roman Antiquity	6,000	15 East 84th Street; New York
New Yorkers for Parks	PC	General Operating Support	50,000	55 Broad St; 23rd Floor; New York
No Labels Foundation	PC	General Operating Support	10,000	1130 Connecticut Avenue NW; Suite 325; Washington
North Country School, Inc	PC	General Operating Support/Eileen's Challenge	10,000	4382 Cascade Rd; Lake Placid
North Country School, Inc	PC	General Operating Support/Annual Fund	10,000	4382 Cascade Rd; Lake Placid
North Country School, Inc	PC	Cushman/Round Lake Property Purchase	25,000	4382 Cascade Rd; Lake Placid
North Country School, Inc	PC	General Operating Support	5,000	4382 Cascade Rd; Lake Placid
North Country School, Inc	PC	Annual Fund/General Operating Support	10,000	4382 Cascade Rd; Lake Placid
Northwest Film Forum	PC	For documentary film, Sweetheart Deal	12,500	1515 12th Avenue; Seattle
NYC Clean Air Campaign Inc.	PC	General Operating Support--	50,000	307 Seventh Avenue Rm 606; New York
NYU Langone Medical Center	PC	Stephen D. Hassenfeld Children's Center for Cancer and Blood Disorders	600	Office of Development; One Park Avenue, 5th Floor; New York
Oberlin College	PC	Practice and Theory in the Italian Renaissance Workshop: Verrocchio & the Epistemology of Art Making	5,000	70 N. Professor Street, Room 100; Oberlin
Open Space Institute	PC	General Operating Support	10,000	1350 Broadway; Suite 201; New York
OUR HOUSE Grief Support Center	PC	General Operating Support in memory of Victoria Whelan (Donation #12969)	150	1663 Sawtelle Boulevard; Los Angeles
Parikrma USA	PC	General Operating Support	5,000	2515 NW 18th Way; Gainesville
Park Avenue Armory	PC	General Operating Support	2,500	643 Park Avenue; new york
Partners in Island Education	PC	General Operating Support	2,000	PO Box 664; Vinalhaven
Peer Solutions	PC	General Operating Support	2,000	PO Box 24148; phoenix
PEN American Center	PC	General Operating Support	5,000	588 Broadway, Ste. 303; New York
PEN American Center	PC	General Operating Support	5,000	588 Broadway, Ste. 303; New York
Pennsylvania Academy of the Fine Arts	PC	World War I and American Art	7,500	128 North Broad Street; Philadelphia
Pew Charitable Trusts	PC	Pew Charitable Trusts - Protecting Chilean Patagonia	200,000	901 E Street, NW; Washington
Philadelphia Museum of Art	PC	Paint the Revolution: Mexican Modernism, 1910-1950	10,000	Philadelphia Museum of Art; P.O. Box 7646; Philadelphia
Philanthropy New York	PC	General Operating Support	450	1500 Broadway; 7th Floor; New York
Philmont Beautification, Inc.	PC	Long Table Harvest	525	PO Box 1072; 113 Main Street; Philmont
Planned Parenthood Federation of America	PC	General operating support	5,000	123 William Street; 10th Floor; New York
Planned Parenthood Federation of America	PC	General Operating Support	20,000	123 William Street; 10th Floor; New York
Planned Parenthood of Metropolitan New Jersey	PC	General Operating Support	300	151 Washington Street; 2nd Floor; Newark
Playwrights Horizons, Inc.	PC	General Operating Support	5,000	416 W. 42nd Street; New York
Poets House	PC	General Operating Support	15,000	10 River Terrace; New York
Portland Museum of Art	PC	Modern Bodies: A New American Sculpture	4,500	Seven Congress Square; Portland

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Preservation League of New York State	PC	General Operating Support	7,500	44 Central Avenue; Albany
Prisoner Reentry Institute at John Jay College of Criminal Justice	PC	General Operating Support	75,000	524 West 59th Street; BMW Suite 609B; New York
Pro Bono Net	PC	Immigration Advocates Network	30,000	151 W 30th St FL 6; New York
Prospect Park Alliance	PC	Prospect Park Alliance's Exhibition Celebrating the 150th Anniversary of Prospect Park	10,000	95 Prospect Park West; Brooklyn
PTA of Watchung School	PC	General Operating Support	300	14 Garden Street; Montclair
Public Citizen	PC	General Operating Support	75,000	1600 20th Street NW; Washington
Public Justice Center, Inc.	PC	National Coalition for a Civil Right to Counsel	5,000	One N. Charles Street; Suite 200; Baltimore
Rachels Network	PC	General Operating Support	9,000	1200 18th Street NW; Suite 910; Washington
Rainforest Action Network (RAN)	PC	General Operating Support	5,000	425 Bush Street Suite 300; San Francisco
Rainforest Action Network (RAN)	PC	General Operating Support	11,000	425 Bush Street Suite 300; San Francisco
Reclaim Appalachia	PC	reclaim opportunity for impoverished/homeless young adults devastated by the coal industry's rapid decline; reclaim our natural environment which has been decimated and left abandoned by now defunct coal companies; reclaim our often demeaned cultural heritage-who we really are as Appalachian people	25,000	P.O. Box 1133, Wayne, WV 25570
Rectors & Visitors of the University of Virginia - University of Virginia Press	PC	"The Log Cabin: An American Icon"	4,000	PO Box 400318; 210 Sprigg Lane (ZIP 22903); Charlottesville
Red Hook Initiative	PC	General Operating Support	10,000	767 Hicks Street; Brooklyn
Regional Plan Association	PC	The Richard Kaplan Chair for Regional Design at Regional Plan Association	500,000	One Whitehall Street; 16th Floor; New York
Reprieve US	PC	General Operating Support	10,000	405 Lexington Avenue; 62nd Floor; New York
Reprieve US	PC	General Operating Support	10,000	405 Lexington Avenue; 62nd Floor; New York
Rios to Rivers	PC	General Operating Support	5,000	266 Wildwood Lane; Aspen
Riverkeeper	PC	General Operating Support	5,000	20 Secor Road; Ossining
Rocky Mountain Institute	PC	Celebrating and Commemorating Richard D. Kaplan in our RMI Innovation Center	50,000	22830 Two Rivers Road; Basalt
Row New York	PC	General Operating Support	750	252 West 37th Street, 4th Floor; New York
Sadie Nash Leadership Project	PC	General Operating Support	5,000	4 West 43rd Street ; Suite 502; New York
Saint Ann's School	PC	General Operating Support/Annual Fund	5,000	129 Pierrepont Street; Brooklyn
Saint Ann's School	PC	General Operating Support	10,000	129 Pierrepont Street; Brooklyn
Saint-Gaudens Memorial	SO 1	"Programs and Exhibitions"	10,000	34 South Highland Avenue; Ossining
Salisbury Visiting Nurse Association	PC	General Operating Support	300	30A Salmon Kill Road, Salisbury, CT
Scenic Hudson, Inc.	PC	General Operating Support	5,000	One Civic Center Plaza, Suite 200; Poughkeepsie
ScholarChips	PC	ScholarCHIPS recognizes the financial strain of going to college and we award scholarships to students with incarcerated parents that are renewed yearly to fully support students through an entire college experience.	26,776	P.O. Box 56404, Washington, DC
Seaport Museum New York	PC	General Operating Support	7,500	12 Fulton Street ; New York
Seeds 4 Success, Inc.	PC	General Operating Support	1,000	PO Box 4042; Annapolis
Shaker Museum and Library	PC	General Operating Support	2,500	PO Box 630; New Lebanon
Sharon Day Care Center	pc	General Operating Support	150	80 Hilltop Road, Sharon, CT
Sharon Fire Department	PC	General Operating Support	300	36 West Main Street; PO Box 357; Sharon
Sharon Fire Department	PC	General Operating Support - Ambulance Squad	300	36 West Main Street; PO Box 357; Sharon
Sharon Green Preservation Association Inc.	PC	General Operating Support	225	22 Upper Main Street, Sharon , CT
Sharon Historical Society	PC	General Operating Support	300	18 Main Street; PO Box 511; Sharon

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Sharon Land Trust	PC	General Operating Support	450	67 Main Street; PO Box 1027; Sharon
Smith College	PC	General Operating Support - The Smith Fund	2,250	10 Elm Street, Northampton, MA
Smithsonian Institution	PC	The Safeguarding the Heritage of Syria and Iraq (SHOSI) Project: Funding Emergency Implementation in Syria	60,000	1000 Jefferson Drive, SW Suite 107; MRC 052 P.O. Box 37012; Washington
Smithsonian Institution - Cooper Hewitt, Smithsonian Design Museum	PC	By the People: Designing a Better America	7,000	2 East 91 Street; New York
Society for American Music	PC	American Harmony	7,000	PO Box 99534; Pittsburg
SS Columbia Project	PC	General Operating Support	10,000	232 East 11th Street; New York
St. Ann's School	PC	Annual Fund/Campaign for Saint Ann's	250,000	129 Pierrepont Street, Brooklyn, NY 11201
St. Ann's Warehouse	PC	General Operating Support	11,000	45 Water Street; Brooklyn
St. Ann's Warehouse	PC	General Operating Support	12,000	45 Water Street; Brooklyn
St. John's College	PC	General Operating Support	5,000	60 College Avenue; Annapolis
St. Johns University	PC	Silent Beaches, Untold Stories: New York City's Forgotten Waterfront	5,000	St. John Hall B3-A; 8000 Utopia Parkway; Queens
St. Louis Art Museum Foundation	PC	Conflicts of Interest: Art and War in Modern Japan	10,000	1 Fine Arts Drive; Saint Louis
Staten Island Cricket Club	PC	General Operating Support: Youth Cricket Program	3,500	197 City Blvd; Staten Island
Sterling & Francine Clark Art Institute	SO 1	A Suite for Piano: Alma-Tadema and the Artistic Interior	4,000	225 South Street; Williamstown
Storm King Art Center, Inc.	PC	David Smith: The White Sculptures	5,000	1 Museum Road; New Windsor
STRIVE International, Inc.	PC	General Operating Support	5,000	240 East 123rd St, 3rd Floor; New York
Support Center for NonProfit Management	PC	General Operating Support	750	42 Broadway; 20th Floor; New York
Susan G. Komen North Jersey	PC	General Operating Support	60	44 Middle Ave ; 2nd Floor; Summit
Sustainable Markets Foundation	PC	Carbon Pricing Youth Engagement Project - Massachusetts and Vermont	20,000	45 West 36th Street, 6th Floor; New York
Terreform Inc	PF	Zoned Out: Race, Displacement and City Planning in New York City	2,500	180 Varick Street; 1220; New York
The Alex Fund	PC	General Operating Support	20,000	63 Benedict Ave.; Tarrytown
The Board of Trustees of the University of Illinois - University of Illinois Press	PC	"Beauty's Rigor: Patterns of Production in the Work of Pier Luigi Nervi" by Thomas Leslie	5,000	1325 South Oak Street; Champaign
The Bowery Mission	PC	General Operating Support	5,000	432 Park Avenue South; 3rd Floor; New York
The Bryn Mawr School for Girls of Baltimore City	PC	General Operating Support	20,000	109 W. Melrose Ave; Baltimore
The Cathedral Church of Saint John the Divine	PC	The Barberini Tapestries: Woven Monuments of Baroque Rome	8,000	1047 Amsterdam Avenue; New York
The City Club of New York	PC	General Operating Support	5,000	249 West 34th St., #402; New York
The Conservation Land Trust	POF	Parks Donation	50,000	1606 Union Street; San Francisco
The Corporation of Yaddo	PC	General Operating Support	5,000	P.O. Box 395; Saratoga Springs
The Grolier Club of the City of New York	PC	The Calligraphy Revival: 1906-2006	3,500	47 East 60th Street; New York
The Horticultural Society of New York	PC	GreenHouse	70,000	148 West 37th Street, 13th Floor; New York
The Key School	PC	General Operating Support - Key School Annual Fund	2,000	534 Hillsmere Dr; Annapolis
The Light House	PC	General Operating Support	2,500	10 Hudson Street; Annapolis
The Lowline	PC	General Operating Support	20,000	5 White Street, #4b; New York
The Mountain School of Milton Academy	PC	General Operating Support	5,000	151 Mountain School Rd; Vershire
The Municipal Art Society of New York	PC	General Operating Support	10,000	488 Madison Avenue; Suite 1900; New York
The New School	PC	Feet in 2 Worlds - Unidos Mobile App	10,000	66 Fifth Avenue, Suite 910 A/B; New York
The New School	PC	InCredible Messenger Training Institute	50,000	66 Fifth Avenue, Suite 910 A/B; New York
The New York Immigration Coalition, Inc.	PC	General Operating Support	35,000	131 West 33rd Street; Suite 610; New York
The New York Immigration Coalition, Inc.	PC	General Operating Support	40,000	131 West 33rd Street; Suite 610; New York
The Olana Partnership	PC	General Operating Support	5,000	PO Box 199; Hudson
The Olana Partnership	PC	General Operating Support	2,500	PO Box 199; Hudson

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THE POINT Community Development Corporation	PC	General Operating Support	100,000	940 Garrison Avenue; Bronx
The Point Community Development Corporation	PC	For repayment of mortgage debt	50,000	940 Garrison Avenue; Bronx
The Point Community Development Corporation	PC	Support for repayment of mortgage debt	150,000	940 Garrison Avenue; Bronx
The Public Theater	PC	General Operating Support	5,000	425 Lafayette Street; New York
The Putney School	PC	General Operating Support--Annual Fund	10,000	418 Houghton Brook Road; Putney
The Regents of the University of California	PC	Home -- So Different, So Appealing	5,000	Office of Contract and Grant Administration; 11000 Kinross Avenue, Suite 211; Los Angeles
The River Project Inc	PC	General Operating Support	5,000	Pier 40 at Houston and West Street, Floor 2; Room 224; New York
The Sculpture Publication Project Inc - VISTAS	PC	Taste and the Antique: The Lure of Classical Sculpture: 1500-1900, Revised and Extended Edition	5,000	300 Central Park West; Apartment 19D; New York
The Skyscraper Museum	PC	Heritage Trails History: Create a digital footprint for Heritage Trails	75,000	39 Battery Place; New York
The University of Georgia Foundation - Georgia Museum of Art	PC	Modern Living: Giò Ponti and the Twentieth-Century Aesthetics of Design	6,000	University of Georgia; 90 Carlton Street; Athens
The Walters Art Museum	SO 1	General Operating Support	20,000	600 North Charles Street; Baltimore
The Wooster Group	PC	The Wooster Group Summer Institute	5,000	PO Box 654, Canal St. Station; New York
Theatre for a New Audience	PC	General Operating Support	7,000	154 Christopher Street; Suite 3D; New York
Thomas Cole Historic House	PC	The Letters of Thomas Cole, Founder of the Hudson River School	4,000	218 Spring Street; PO Box 426; Catskill
Thomas Cole Historic House	PC	General Operating Support	5,000	218 Spring Street; PO Box 426; Catskill
Thomas Cole Historic House	PC	General Operating Support	2,500	218 Spring Street; PO Box 426; Catskill
Thread, Inc.	PC	General Operating Support	5,000	PO Box 1584; Baltimore
Tic Toc Stop Inc.	PC	General Operating Support	300	155 Wooster Street; #4F; New York
Time & Space Limited / TSL	PC	General Operating Support	2,500	PO Box 343; 434 Columbia Street; Hudson
Toni's Kitchen	PC	General Operating Support	390	73 South Fullerton Avenue; Montclair
Tour de Force	PC	General Operating Support	1,500	PO Box 395; Washingtonville
Town of East Hampton	PC	Town of East Hampton Senior Nutrition Program	5,000	159 Pantigo Road; East Hampton
TransitCenter	PC	Reconnecting and Reimagining Lower Manhattan	75,000	One Whitehall Street; 17th Floor; New York
Trust Women Foundation	PC	Campaign for Hope Clinic	3,000	P.O. Box 3222; Wichita
Tulane University	PC	General operating support for the Criminal Clinic at Tulane University Law School	10,000	1555 Poydras Street; Suite 1000; New Orleans
U.S. Climate Plan	PC	State Carbon Pricing Network	20,000	50 F Street NW Suite 700; Washington
Union Settlement Association	PC	General Operating Support	10,000	237 East 104th Street; New York
United States Institute for Theater Technology, Inc. - USITT	PC	The Designs of Jennifer Tipton	4,000	315 S. Crouse Avenue ; Suite 200; Syracuse
United We Dream Network	PC	General Operating Support	55,000	1900 L Street NW, Suite 900; Washington
University of Chicago - Smart Museum of Art	PC	"There was a whole collection made: Photography from Lester and Betty Gutman."	5,000	5550 South Greenwood Ave; Chicago
University of Delaware	PC	Marble Halls: Civic and Urban Architecture in the Gilded Age	4,000	Art History Department; 18 E. Main St / RM318 Old College; Newark
University of Hawaii - University of Hawaii Press	PC	Envisioning Japan: Fascism and Japanese Painting during the Second World War	2,000	2840 Kolowalu Street; Honolulu
University of Pennsylvania	PC	General Operating Support	50,000	3260 South Street, Philadelphia, PA
University of Pittsburgh - University of Pittsburgh Press	PC	The Informal as Project: Practices of Self-Help Housing in Peru, 1954-1986	4,200	7500 Thomas Blvd; Pittsburgh
University of Southern California	PC	Nature and Culture in the Sixteenth-Century Atlantic Basin	5,000	University Gardens, UGB 203; Los Angeles
University of Texas at Austin	PC	A New Wood Economy	7,000	310 Inner Campus Drive; B7500; Austin

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University of Texas Foundation - Jack S. Blanton Museum of Art	PC	Nina Katchadourian	3,500	200 E. Martin Luther King Jr. Blvd., Stop D1303; Austin
University of Washington	PC	Arundo donax pyrolysis	50,000	W. McKean, School of Environmental and Forest Sciences, 3715 Stevens Way, Room 107 Anderson Hall; Seattle
Upwardly Global	PC	General Operating Support	45,000	505 8th Ave. Suite 602; New York
Urban Stages	PC	Outreach Adult Literacy   Richard Kaplan's Literacy Arts Program	50,000	555 8th Avenue, RM 1800; New York
Vera Institute of Justice	PC	General Operating Support	75,000	233 Broadway, 12th Floor; New York
Vermont Public Interest Research & Education Fund	PC	Energy Independent Vermont	65,000	141 Main Street; Suite 6; Montpelier
Vernon Avenue Project/Reconnect	PC	General Operating Support	50,000	442 Lorimer Street Suite D #309; Brooklyn
Veterans Yoga Project	PC	General Operating Support	5,000	PO BOX 6472; Alameda
Village of Kinderhook	PC	Signage, "Persons of Color Cemetery"	750	PO Box 325; 6 Chatham Street; Kinderhook
Village of Kinderhook	PC	signage, "Persons of Color Cemetery"	1,000	PO Box 325; 6 Chatham Street; Kinderhook
Volunteering Untapped	PC	General Operating Support	7,500	3503 N. Charles Street; Baltimore
WAMC	PC	General Operating Support	5,000	318 Central Avenue; Albany
WAMC	PC	General Operating Support	375	318 Central Avenue; Albany
Waterfront Alliance	PC	General Operating Support	5,000	217 Water Street; Suite 300; New York
Welcoming America	PC	General Operating Support	95,000	315 W. Ponce de Leon Avenue, Suite 500; Decatur
West/Rhode Riverkeeper, Inc.	PC	General Operating Support	1,000	4800 Atwell Rd.; PO Box 172; Shady Side
Westchester Medical Center Foundation Inc.	PC	12th Annual "Go the Distance" Walk (tracking code: 2650-1341-1-20594-21878)	75	100 Woods Road; Taylor Pavilion, Suite C3; Valhalla
White House Historical Association	PC	The Stonemasons Who Built the White House	3,500	PO Box 27624; Washington
Whitney Museum of American Art	PC	Carmen Herrera	10,000	99 Gansevoort Street; New York
Wilderness Workshop	PC	General Operating Support	10,000	PO Box 1442 ; Carbondale
Wildlife Conservation Society	PC	The Northern Forest Atlas Project	10,000	2300 Southern Blvd; Bronx
Winnakee Land Trust	PC	General Operating Support	2,500	P.O. Box 610; Rhinebeck
Women Make Movies	PC	There's Something About John	20,000	115 West 29th Street, suite 1200; New York
Women's Housing and Economic Development Corporation	PC	General Operating Support	5,000	50 E 168th St.; Bronx
Women's Refugee Commission	PC	General Operating Support	2,000	15 West 37th Street; Floor 9; New York
Woods Hole Research Center Inc	PC	The Big Thaw: Ancient Carbon, Modern Science and a Race to Save the World.	8,000	149 Woods Hole Road; Falmouth
WSHU Public Radio	PC	General Operating Support as challenge grant	2,500	5151 Park Avenue; Fairfield
Yale University/Yale Repertory Theatre	PC	To the Mountaintop	10,000	222 York Street; New Haven
YMCA of Montclair	PC	General Operating Support	375	25 Park Street; Montclair
Young Concert Artists, Inc.	PC	General Operating Support	2,500	250 West 57 Street; Suite 1222; New York
YWCA of Annapolis & Anne Arundel Co	PC	General Operating Support	1,000	1517 Ritchie Highway; Suite 201; Arnold

Total Paid as of 12/31/2016 \$ 6,722,551



**The J.M. Kaplan Fund, Inc.**  
**EIN# 13-6090286**  
**December 31, 2016**  
**Grants Payable**

Organization Name	Status	Grant/Project Description	Amount Payable	Organization Address
Cotidiano Mujer	PC	"Nunca en Domingo" (Never on Sunday) Radio Program	25,000	Montivideo, Uruguay
Cotidiano Mujer	PC	"Nunca en Domingo" (Never on Sunday) Radio Program	50,000	Montivideo, Uruguay
Cotidiano Mujer	PC	"Nunca en Domingo" (Never on Sunday) Radio Program	50,000	Montivideo, Uruguay
Board of Trustees Stanford Univ.	PC	The Stanford Fund for Undergraduate Studies	6,000	326 Galvez Street, Stanford, CA 94086
University of Wisconsin	PC	Conservation and Column Reconstruction of the Greek and Roman Agora at Troy	40,000	1848 University Avenue P.O. Box 8860 Madison WI
Pew Charitable Trusts	PC	Protecting Our Oceans from Seabed Mining	200,000	901 E St NW # 10, Washington, DC 20004
The Regents of the University of California	PC	Maximizing environmental protection of deep-sea ecosystems in advance of seabed mining	60,000	Scripps Institution of Oceanography; 9500 Gilman Drive, MC 0210; La Jolla
Behold New Lebanon	PC	create new opportunities in rural America that keeps folks in our small towns and reignites economic growth across the nation.	100,000	438 NY Route 20, New Lebanon, NY
Reclaim Appalachia	PC	reclaim opportunity for impoverished/homeless young adults devastated by the coal industry's rapid decline; reclaim our natural environment which has been decimated and left abandoned by now defunct coal companies; reclaim our often demeaned cultural heritage-who we really are as Appalachian people	100,000	P.O. Box 1133, Wayne, WV 25570
Essie Justice Group	PC	Essie's innovative idea is to alleviate suffering and bring about lasting social change by harnessing the collective power of women with incarcerated loved ones.	100,000	300 Frank H. Ogawa Plaza, Oakland, CA
Enable Community Foundation	PC	empowering internet-connected problem-solvers to use 21st century means of production to address the needs of underserved populations	100,000	730 Bicknell Road, Los Gatos, CA
Bay2Tray	PC	bringing sustainable seafood to school lunches, for childrens health and our future	100,000	23532 Calabasas Road, Calabasas, CA
Co-Worker.Org	PC	Coworker.org is a platform that connects people to one another in order to influence their working conditions	100,000	1330 Broadway, Suite 300, Oakland, CA
Growing Veterans	PC	Our mission is "To empower military veterans to grow food, communities, and each other." Our vision is "To end the isolation that leads to suicide and to make sustainable agriculture the norm." Using the farm as the catalyst, every day we provide opportunities for veteran peer-support and broader community engagement.	93,483	6458 Martin Place, Lynden, WA 98264
Land Art Generator	PC	to design and construct a series of large-scale site-specific public art installations that uniquely combine art with utility-scale clean energy generation	96,810	621 Avery Street, Pittsburgh, PA

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**Grants Payable**

Organization Name	Status	Grant/Project Description	Amount Payable	Organization Address
ScholarChips	PC	ScholarCHIPS recognizes the financial strain of going to college and we award scholarships to students with incarcerated parents that are renewed yearly to fully support students through an entire college experience.	98,223	P.O. Box 56404, Washington, DC 20040
Advancing Real Change	PC	ARC is the only project in the country that engages in casework, consultation, and training to educate defense teams on the practice and purpose of life history investigation with the aim of bringing this investigation to every level of the criminal justice system	88,807	500 S Conkling Street, Baltimore, MD 21201
New Yorkers for Parks	PC	General Operating Support	50,000	55 Broad St; 23rd Floor; New York 10004
Clean Water Fund	PC	Massachusetts Campaign for a Clean Energy Future	65,000	88 Broad St.; Lower Level; Boston MA 02110
Vermont Public Interest Research & Education Fund	PC	Energy Independent Vermont	65,000	141 Main Street; Suite 6; Montpelier VT 05602
The Conservation Land Trust	POF	Parks Donation	50,000	1606 Union Street; San Francisco, California 94123
Fundación Terram	PC	Analysis and Proposals for Improving Public Management of Protected Areas	50,000	Av. Bustamnte 24 dpto I; Dragones de la Reina 581; Santiago
Melimoyu Foundation	PC	Creation of the Melimoyu National Park and Extension of the Corcovado National Park	50,000	Francisco Antonio Encina 1781, Dpto 1510; Santiago
European Climate Foundation	PC	Phasing out Coal Power in Chile	100,000	Riviermarkt, 5, 2513 AM The Hague, Netherlands
Vertus Charter School	PC	General Operating Support	10,000	21 Humboldt Street, Rochester, NY 14609
Annapolis Opera Company	PC	General Operating Support	1,500	801 Chase Street, Annapolis, MD 21401

Total Payable as of 12/31/2016 \$ 1,849,823

The J.M. Kaplan Fund, Inc.  
Grant Application Process  
EIN: 13-6090286  
December 31, 2016

The Fund normally makes grants to organizations in the United States which have tax-exempt status under Section 501(c)(3) of the Internal Revenue Code (and are not private foundations within the meaning of section 107(c)(1) of the code), and to state colleges and universities. The Fund will also consider grant requests from organizations based outside the United States if they have documented equivalent 501(c)(3) status. The Fund does not make grants to individuals.

Due to its narrow funding focus, the Fund makes grants by invitation only, except in the case of [The J.M.K. Innovation Prize](#).

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