

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

▶ Do not enter social security numbers on this form as it may be made public.  
 ▶ Go to [www.irs.gov/Form990PF](http://www.irs.gov/Form990PF) for instructions and the latest information.

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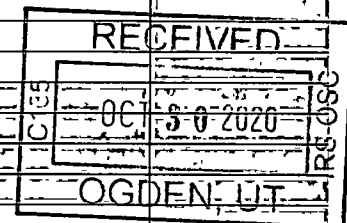
For calendar year 2019 or tax year beginning , and ending

Name of foundation <b>The Charles A Dana Foundation, Incorporated</b>			A Employer identification number <b>06-6036761</b>	
Number and street (or P O box number if mail is not delivered to street address) <b>505 Fifth Avenue</b>		Room/suite <b>6th Fl</b>	B Telephone number (see instructions) <b>212-223-4040</b>	
City or town, state or province, country, and ZIP or foreign postal code <b>New York NY 10017</b>		C If exemption application is pending, check here <input type="checkbox"/>		
Foreign country name Foreign province/state/county Foreign postal code		D 1 Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>		
G Check all that apply <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change		E If private foundation status was terminated under section 507(b)(1)(A), check here <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		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>		
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ <b>232,258,465</b>		J Accounting method <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual Other (specify) _____		

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received (attach schedule)					
2 Check <input checked="" type="checkbox"/> If the foundation is not required to attach Sub B					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities		1,260,397	1,260,397		
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		2,763,617			
b Gross sales price for all assets on line 6a <b>14,700,575</b>					
7 Capital gain net income (from Part IV, line 2)			2,763,617		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule) <i>Statement 1</i>		12,681,440	15,262,692		
12 Total. Add lines 1 through 11		16,705,454	19,286,706	0	
13 Compensation of officers, directors, trustees, etc		847,769	80,498		855,139
14 Other employee salaries and wages		1,440,519	21,917		1,418,602
15 Pension plans, employee benefits		1,468,448	21,851		609,225
16a Legal fees (attach schedule) <i>Statement 1</i>		28,816			17,417
b Accounting fees (attach schedule) <i>Statement 1</i>		63,633	28,816		34,817
c Other professional fees (attach schedule) <i>Statement 1</i>		885,092	662,592		227,155
17 Interest					
18 Taxes (attach schedule) (see instructions) <i>Statement 2</i>		202,995			
19 Depreciation (attach schedule) and depletion <i>Statement 3</i>		39,874	3,987		
20 Occupancy		844,349	84,435		863,956
21 Travel, conferences, and meetings		107,252			88,847
22 Printing and publications		191,025			197,720
23 Other expenses (attach schedule) <i>Statement 4</i>		369,523	35,956		329,571
24 Total operating and administrative expenses. Add lines 13 through 23		6,489,295	940,052	0	4,642,449
25 Contributions, gifts, grants paid		6,364,848			7,158,794
26 Total expenses and disbursements. Add lines 24 and 25		12,854,143	940,052	0	11,801,243
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements		3,851,311			
b Net investment income (if negative, enter -0-)			18,346,654		
c Adjusted net income (if negative, enter -0-)				0	

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)			
		Beginning of year	End of year		
		(a) Book Value	(b) Book Value	(c) Fair Market Value	
Assets	1	Cash—non-interest-bearing	9,532,917	5,850,479	5,850,439
	2	Savings and temporary cash investments			
	3	Accounts receivable ▶ 1,253			
		Less allowance for doubtful accounts ▶	5,692	1,253	1,253
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule) <i>Statement 5</i>	38,099,205	52,351,113	52,351,113
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶				
12	Investments—mortgage loans				
13	Investments—other (attach schedule) <i>Statement 6</i>	163,269,622	173,457,457	173,457,457	
14	Land, buildings, and equipment: basis ▶ <i>Statement 7</i> 410,438				
	Less accumulated depreciation (attach schedule) ▶ 313,986	96,452	56,578	56,578	
15	Other assets (describe ▶ <i>See Attached Statement 8</i> )	259,996	541,585	541,585	
16	<b>Total assets</b> (to be completed by all filers—see the instructions Also, see page 1, item I)	211,263,884	232,258,465	232,258,465	
Liabilities	17	Accounts payable and accrued expenses	335,398	235,079	
	18	Grants payable	4,125,000	3,331,054	
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ <i>See Attached Statement 9</i> )	4,796,264	5,350,818	
	23	<b>Total liabilities</b> (add lines 17 through 22)	9,256,662	8,916,951	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here and complete lines 24, 25, 29, and 30. <input checked="" type="checkbox"/>				
	24	Net assets without donor restrictions	202,007,222	223,341,514	
	25	Net assets with donor restrictions			
	Foundations that do not follow FASB ASC 958, check here and complete lines 26 through 30. <input type="checkbox"/>				
	26	Capital stock, trust principal, or current funds			
	27	Paid-in or capital surplus, or land, bldg, and equipment fund			
	28	Retained earnings, accumulated income, endowment, or other funds			
29	<b>Total net assets or fund balances</b> (see instructions)	202,007,222	223,341,514		
30	<b>Total liabilities and net assets/fund balances</b> (see instructions)	211,263,884	232,258,465		

Part III Analysis of Changes in Net Assets or Fund Balances		
1	Total net assets or fund balances at beginning of year—Part II, column (a), line 29 (must agree with end-of-year figure reported on prior year's return)	1 202,007,222
2	Enter amount from Part I, line 27a	2 3,851,311
3	Other increases not included in line 2 (itemize) ▶ <i>Change in Net Unrealized Appreciation in Investment</i>	3 17,607,981
4	Add lines 1, 2, and 3	4 223,466,514
5	Decreases not included in line 2 (itemize) ▶ <i>Change in Deferred Excise Taxes</i>	5 125,000
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29	6 223,341,514

**Part IV Capital Gains and Losses for Tax on Investment Income**

a) List and describe the kind(s) of property sold (for example, real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1a	See Attached Schedule			
b				
c				
d				
e				
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))	
a	14,700,575	11,936,958	2,763,617	
b				
c				
d				
e				
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) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any		
a				2,763,617
b				
c				
d				
e				
2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	2,763,617	
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) See instructions If (loss), enter -0- in Part I, line 8 }	3	0	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?  Yes  No  
If "Yes," the foundation doesn't 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))
2018	13,798,142	226,480,820	0.060924
2017	13,063,347	226,120,434	0.057772
2016	13,029,603	216,565,306	0.060165
2015	13,912,556	228,202,799	0.060966
2014	13,521,619	238,840,561	0.056614
2	Total of line 1, column (d)	2	0.296441
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5.0, or by the number of years the foundation has been in existence if less than 5 years	3	0.059288
4	Enter the net value of noncharitable-use assets for 2019 from Part X, line 5	4	229,095,693
5	Multiply line 4 by line 3	5	13,582,625
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	183,467
7	Add lines 5 and 6	7	13,766,092
8	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	8	11,801,243

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

<b>1a</b>	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>b</b>	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	<b>1</b>	366,933
<b>c</b>	All other domestic foundations enter 2% of line 27b Exempt foreign organizations, enter 4% of Part I, line 12, col (b)		
<b>2</b>	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-)	<b>2</b>	0
<b>3</b>	Add lines 1 and 2	<b>3</b>	366,933
<b>4</b>	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-)	<b>4</b>	
<b>5</b>	<b>Tax based on investment income.</b> Subtract line 4 from line 3 If zero or less, enter -0-	<b>5</b>	366,933
<b>6</b>	<b>Credits/Payments</b>		
<b>a</b>	2019 estimated tax payments and 2018 overpayment credited to 2019	<b>6a</b>	527,173
<b>b</b>	Exempt foreign organizations—tax withheld at source	<b>6b</b>	
<b>c</b>	Tax paid with application for extension of time to file (Form 8868)	<b>6c</b>	
<b>d</b>	Backup withholding erroneously withheld	<b>6d</b>	
<b>7</b>	Total credits and payments Add lines 6a through 6d	<b>7</b>	527,173
<b>8</b>	Enter any <b>penalty</b> for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached	<b>8</b>	
<b>9</b>	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>	<b>9</b>	0
<b>10</b>	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>	<b>10</b>	160,240
<b>11</b>	Enter the amount of line 10 to be <b>Credited to 2020 estimated tax</b> <input type="checkbox"/> <b>Refunded</b> <input type="checkbox"/>	<b>11</b>	0

**Part VII-A Statements Regarding Activities**

	Yes	No
<b>1a</b> 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>b</b> Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition If the answer is "Yes" to <b>1a</b> or <b>1b</b> , attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
<b>c</b> Did the foundation file <b>Form 1120-POL</b> for this year?		X
<b>d</b> Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____		
<b>e</b> Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____		
<b>2</b> 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
<b>3</b> 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
<b>4a</b> Did the foundation have unrelated business gross income of \$1,000 or more during the year?	X	
<b>b</b> If "Yes," has it filed a tax return on <b>Form 990-T</b> for this year?	X	
<b>5</b> Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by <i>General Instruction T</i>		X
<b>6</b> 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	
<b>7</b> 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	
<b>8a</b> Enter the states to which the foundation reports or with which it is registered See instructions <input type="checkbox"/> CT, MD, NY		
<b>b</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 <i>General Instruction G</i> ? If "No," attach explanation	X	
<b>9</b> 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 2019 or the tax year beginning in 2019? See the instructions for Part XIV If "Yes," complete Part XIV		X
<b>10</b> Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule See instructions <i>Statement 11</i>	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? Website address ▶ <u>www.dana.org</u>	X	
14 The books are in care of ▶ <u>Burton M Mirsky</u> Telephone no ▶ <u>212 223 4040</u> Located at ▶ <u>505 Fifth Avenue, 6th Floor New York NY</u> ZIP+4 ▶ <u>10017</u>		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—check here and enter the amount of tax-exempt interest received or accrued during the year ▶ <u>15</u>		
16 At any time during calendar year 2019, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114 If "Yes," enter the name of the foreign country ▶		X

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 Organizations relying on a current notice regarding disaster assistance, check here ▶ <input type="checkbox"/>		X
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2019?		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 2019, did the foundation have any undistributed income (Part XIII, lines 6d and 6e) for tax year(s) beginning before 2019? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ 20____, 20____, 20____, 20____		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions)	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 ▶ 20____, 20____, 20____, 20____		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If "Yes," did it have excess business holdings in 2019 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Form 4720, Schedule C, to determine if the foundation had excess business holdings in 2019)	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 2019?		X

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

<b>5a</b>	During the year, did the foundation pay or incur any amount to		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	(3) Provide a grant to an individual for travel, study, or other similar purposes?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
<b>b</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				<b>5b</b>		X
	Organizations relying on a current notice regarding disaster assistance, check here			<input type="checkbox"/>			
<b>c</b>	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? <i>Statement 12 &amp; 12a</i>		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No			
	If "Yes," attach the statement required by Regulations section 53.4945-5(d)						
<b>6a</b>	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No			
<b>b</b>	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? If "Yes" to 6b, file Form 8870				<b>6b</b>		X
<b>7a</b>	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No			
<b>b</b>	If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?				<b>7b</b>	N/A	
<b>8</b>	Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No			

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

**1 List all officers, directors, trustees, and foundation managers and their compensation. See instructions.**

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Statement 13 and 13a		847,769	132,767	

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Statement 14 and 14a		00 692,843	263,120	
		00 0		
		00 0		
		00 0		
		00 0		

Total number of other employees paid over \$50,000 ▶ 7

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

**3 Five highest-paid independent contractors for professional services. See instructions. If none, enter "NONE."**

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
Cambridge Assoc 125 High Street, Boston, MA 02110-2112	Investment Advice	219,273
Eagle Management Advisors 700 Commodore Court, Unit 2728, Philadelphia, PA 19146	Investment Management	198,063
Silchester Intl Investors, Inc 780 Third Avenue, NY, NY 10017	Investment Management	113,959
Guy McKhann, M D 3400 North Charles St, Baltimore, MD 2	Health Program Consultant	112,500
Wellington Trust Company 280 Congress Street, Boston, MA 02210	Investment Management	72,289
<b>Total number of others receiving over \$50,000 for professional services</b>		<b>1</b>

**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
<b>1</b> Statement 15- Total Expenses - \$4,642,449	
Grants	2,282,161
<b>2</b>	
Outreach- News Office	865,436
<b>3</b>	
Outreach- Publications	845,998
<b>4</b>	
Outreach-Website	648,854

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

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

	Amount
<b>1</b> None	
<b>2</b>	
All other program-related investments See instructions	
<b>3</b>	
<b>Total.</b> Add lines 1 through 3	<b>0</b>

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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
<b>a</b>	Average monthly fair market value of securities	<b>1a</b>	42,576,288
<b>b</b>	Average of monthly cash balances	<b>1b</b>	9,569,522
<b>c</b>	Fair market value of all other assets (see instructions)	<b>1c</b>	180,438,650
<b>d</b>	<b>Total</b> (add lines 1a, b, and c)	<b>1d</b>	232,584,460
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1e</b>	
<b>2</b>	Acquisition indebtedness applicable to line 1 assets	<b>2</b>	
<b>3</b>	Subtract line 2 from line 1d	<b>3</b>	232,584,460
<b>4</b>	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)	<b>4</b>	3,488,767
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	229,095,693
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5	<b>6</b>	11,454,785

**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.)

<b>1</b>	Minimum investment return from Part X, line 6	<b>1</b>	11,454,785
<b>2a</b>	Tax on investment income for 2019 from Part VI, line 5	<b>2a</b>	366,933
<b>b</b>	Income tax for 2019 (This does not include the tax from Part VI)	<b>2b</b>	78,894
<b>c</b>	Add lines 2a and 2b	<b>2c</b>	445,827
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	11,008,958
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	
<b>5</b>	Add lines 3 and 4	<b>5</b>	11,008,958
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	
<b>7</b>	<b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1	<b>7</b>	11,008,958

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
<b>a</b>	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26	<b>1a</b>	11,801,243
<b>b</b>	Program-related investments—total from Part IX-B	<b>1b</b>	
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the		
<b>a</b>	Suitability test (prior IRS approval required)	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule)	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	11,801,243
<b>5</b>	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions.	<b>5</b>	
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	<b>6</b>	11,801,243

**Note.** The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.



**Part XIII Undistributed Income** (see instructions)

	(a) Corpus	(b) Years prior to 2018	(c) 2018	(d) 2019
1 Distributable amount for 2019 from Part XI, line 7				11,008,958
2 Undistributed income, if any, as of the end of 2019				
a Enter amount for 2018 only			0	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2019				
a From 2014	1,921,247			
b From 2015	2,809,543			
c From 2016	2,405,195			
d From 2017	1,937,388			
e From 2018	2,923,051			
f <b>Total</b> of lines 3a through e	11,996,424			
4 Qualifying distributions for 2019 from Part XII, line 4 ▶ \$ 11,801,243				
a Applied to 2018, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions)				
c Treated as distributions out of corpus (Election required—see instructions)				
d Applied to 2019 distributable amount				11,008,958
e Remaining amount distributed out of corpus	792,285			
5 Excess distributions carryover applied to 2019 (If an amount appears in column (d), the same amount must be shown in column (a) )				
6 <b>Enter the net total of each column as indicated below:</b>				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	12,788,709			
b Prior years' undistributed income Subtract line 4b from line 2b		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2018 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2019 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2020				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required—see instructions)				
8 Excess distributions carryover from 2014 not applied on line 5 or line 7 (see instructions)	1,921,247			
9 <b>Excess distributions carryover to 2020.</b> Subtract lines 7 and 8 from line 6a	10,867,462			
10 Analysis of line 9				
a Excess from 2015	2,809,543			
b Excess from 2016	2,405,195			
c Excess from 2017	1,937,388			
d Excess from 2018	2,923,051			
e Excess from 2019	792,285			

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

N/A

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

	Tax year				(e) Total
	(a) 2019	(b) 2018	(c) 2017	(d) 2016	
<b>2a</b> Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					0
<b>b</b> 85% of line 2a					0
<b>c</b> Qualifying distributions from Part XII, line 4, for each year listed					0
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities					0
<b>e</b> Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					0
<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					0
<b>(2)</b> Value of assets qualifying under section 4942(j)(3)(B)(i)					0
<b>b</b> "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6, for each year listed					0
<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)					0
<b>(2)</b> Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					0
<b>(3)</b> Largest amount of support from an exempt organization					0
<b>(4)</b> Gross investment income					0

**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., to individuals or organizations under other conditions, complete items 2a, b, c, and d. See instructions.

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

Mary Lucas 505 5th Ave New York, NY 10017 (212) 223-4040 mlucas@dana.org

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

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

- c** Any submission deadlines

None

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

Grants are generally made under the Foundation's neuroscience and society programs and Director grant rules. Recipients must be qualified organizations under the US tax laws.

**Part XV** Supplementary Information *(continued)*

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> attached schedule 16-accrued per Financials				6,364,848
<b>Total</b>				<b>6,364,848</b>
b <i>Approved for future payment</i> attached schedule 16-P/Y Grants Paid				793,946
<b>Total</b>				<b>793,946</b>

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Table with 5 main columns: (a) Business code, (b) Amount, (c) Exclusion code, (d) Amount, and (e) Related or exempt function income. Rows include categories like Program service revenue, Membership dues and assessments, Interest on savings, Dividends, Net rental income, Gain from sales, and Subtotal.

(See worksheet in line 13 instructions to verify calculations)

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

Table with 2 columns: Line No. and Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes.

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

- 1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?
a Transfers from the reporting foundation to a noncharitable exempt organization of
(1) Cash
(2) Other assets
b Other transactions
(1) Sales of assets to a noncharitable exempt organization
(2) Purchases of assets from a noncharitable exempt organization
(3) Rental of facilities, equipment, or other assets
(4) Reimbursement arrangements
(5) Loans or loan guarantees
(6) Performance of services or membership or fundraising solicitations
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees
d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.

Table with 3 columns: Question, Yes, No. Rows 1a(1) through 1c.

Table with 4 columns: (a) Line no, (b) Amount involved, (c) Name of noncharitable exempt organization, (d) Description of transfers, transactions, and sharing arrangements.

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

b If "Yes," complete the following schedule

Table with 3 columns: (a) Name of organization, (b) Type of organization, (c) Description of relationship.

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

Sign Here: Signature of officer or trustee, Date, Title, and a box for 'May the IRS discuss this return with the preparer shown below?'.

Paid Preparer Use Only: Print/Type preparer's name, Preparer's signature, Date, Check self-employed, PTIN, Firm's name, Firm's address, Firm's EIN, Phone no.

Statement 1

**Part I, Line 11 (990-PF) - Other Income**

		12,681,440	15,262,692	0
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income
1	Partnership Income Including Net Capital Gains-Statement 1a	13,116,482	13,116,482	
2	C/Y Adj of F/S Partnership Inc to Inc per 2019 K-1's		2,707,767	
3	Net Capital Gains (Losses)-Not Taxable Income	261,266	0	
4	Dividend Reported on 2018 Return and 2019 F/S		-90,250	
5	Dividend Reported on 2019 F/S -adj to actual reported E&P		-16,846	
6	Misc Inc	1,079	1,079	
7	UBIT Per K-1's- Statement 1a		-455,540	
8	P/Y Adj of F/S Partnership Inc to Inc per 2018 K-1's	-697,387		

**Part I, Line 16a (990-PF) - Legal Fees**

		28,816	0	0	17,417
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	Epstein Becker, Green	417			417
2	CT Corp	1,075			1,075
3	Robinson Cole	27,324			15,925

**Part I, Line 16b (990-PF) - Accounting Fees**

		63,633	28,816	0	34,817
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	O'Connor Davies et al	59,668	28,816		30,852
2	Preferred Pension	3,965			3,965

**Part I, Line 16c (990-PF) - Other Professional Fees**

		885,092	662,592	0	227,155
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	Dr Mckhann	112,500			112,500
2	Dr Blakemore	50,000			50,000
3	Dr Magistetti	35,000			35,000
4	Boatman	10,000			10,000
5	Eagle Management Advisors	198,063	198,063		0
6	PWC	15,000			15,000
7	Cambridge Assoc	219,273	219,273		0
8	JP Morgan Chase	12,892	12,892		0
9	BrandyWine Fund	26,116	26,116		0
10	Silchester	133,959	133,959		0
11	Wellington	72,289	72,289		0
12	Cash to Accrual Adj				4,655

The Charles A Dana Foundation, Incorporated  
Form 990PF  
06-6036761  
2018 Partnership/Trust Income  
Part 1 Line 11

Statement 1a

	Column (a)	Column (b)	Column (b)	Column (b)	Column (b)
	Income Per Books	Net Investment Income Net of UBTI	Per Actual K-1	UBTI	Taxable Income Per K-1
Ein #					
Knightsbridge Venture Capital	20-1463725	117,878	\$404,638	-\$2	\$404,636
Abbott Capital Fund IV	36-7045759	-1,540,206	-\$64,391	-540	-\$64,931
Abbott Capital Fund V	20-2896577	77,797	\$41,534	64,140	\$105,674
Abbott Capital Fund VI	26-2293853	603,229	\$458,641	25,102	\$483,743
Adamas Opportunities L.P. (1 Yr)	04-3514360	498,940	\$369,670	8,248	\$377,918
Adamas Opportunities L.P. (3 Yr)	04-3514360	0	\$394,324	8,340	\$402,664
Adamas Partners L.P.	04-3514358	325,916	\$428,838	6,026	\$434,864
Davidson Kempner	13-3597020	977,128	\$975,669	1,459	\$977,128
TIFF Partners III L.P.	58-2426874	5,491	\$6,245	-90	\$6,155
TIFF Partners IV L.P.	54-2007544	-363,183	-\$358,521	-25	-\$358,546
Silchester	36-7045759	893,593	\$869,977	0	\$869,977
TIFF Secondary Partners (TSP) TIFF I	56-2384583	0	\$3	0	3
Commonfund Private Equity-VI	16-1720029	184,999	\$146,010	38,989	184,999
Commonfund Private Equity-VII	20-8306306	831,726	\$808,477	22,799	831,276
Commonfund International Private Equity VI	20-8306365	625,273	\$624,525	748	625,273
Commonfund Capital Venture Partners VIII	11-3814030	728,511	\$728,547	-36	728,511
Brandywine Global Opportunistic Absolute Return	46-1858165	-222,539	-\$222,539	0	-222,539
Adage Capital	04-3574590	3,874,675	\$3,874,675	0	3,874,675
Forester Capital-B	13-4079780	906,145	\$819,537	222,769	1,042,306
1607 Capital Partners	26-1761983	580,419	\$1,502,220	0	1,502,220
Aberdeen Real Assets (Flag Real Assets)	20-8736989	18,937	-\$63,605	-24,220	-87,825
Newport Asia	06-6036761	2,449,336	\$2,449,336	0	2,449,336
Commonfund Capital Natl Resources Partners IX	37-1656529	-1,652	\$27,917	-29,569	-1,652
Harvest MLP Inc Fund LLC	27-2968896	783,513	\$620,482	163,031	783,513
Wellington CTF Emerging Mkt Opp	44-1454454	511,235	\$511,235	0	511,235
TrueBridge Capital V	82-2022561	-12,179	-\$66,139	-302	-66,441
Encap Flatrock Midstream V	82-2890021	-53,451	-\$2,513	-50,938	-53,451
Kline Hill Ptrs II	82-4035378	6,088	-\$6,728	-402	-7,130
Warburg Pincus	82-5482931	-113,911	-\$113,910	0	-113,910
Himilaya Capital		216,682	\$0	0	0
Doddington Emerging Markets	80-0668330	182,883	\$182,869	14	182,883
Arrowstreet All Country	98-1296664	31,372	\$31,373	-1	31,372
TrueBridge Capital VI		-8,163	-\$9,686	-1	-9,687
Rounding			-\$1	1	0
Partnership Income		\$13,116,482	\$15,368,709	\$455,540	\$15,824,249
P/Y Adj of F/S Partnership Inc to Inc per 2018 K-1's		-697,387			
Partnership Income Per FS		\$12,419,095			
C/Y Adj of F/S Partnership Inc to Inc per 2019 K-1's					\$2,707,767

Statement 2

**Part I, Line 18 (990-PF) - Taxes**

		202,995	0	0	0
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	US Excise Tax	25,000			
2	US UBT	121,636			
3	NYS Tax	56,359			



Statement 3

Part I, Line 19 (990-PF) - Depreciation and Depletion

	Description	Date Acquired	Method of Computation	Asset Life	Cost or Other Basis	Beginning Accumulated Depreciation	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income
1	Leasehold Improvements NYO	various	various	various	410,438	313,988	39,874	3,987	0
							39,874	3,987	0

Statement 4.

**Part I, Line 23 (990-PF) - Other Expenses**

		369,523	35,956	0	329,571
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	Insurance	78,061	7,438		70,623
2	Computers	231,014	23,101		207,913
3	Dues/Subsription	8,696	870		7,826
4	Filing Fees	6,294	0		6,294
5	Prof Devel	1,365	137		1,228
6	Office Expense	24,576	2,458		22,118
7	Miscellaneous	3,867	387		3,480
8	Telephone-Fax-Copier	15,650	1,565		14,085
9	cas to Accrual Adj	0	0		-3,996

Statement 7

**Part II, Line 14 (990-PF) - Land, Buildings, and Equipment**

		410,438	313,986	313,986	96,452	56,578	56,578
Asset Description		Cost or Other Basis	Accumulated Depreciation Beg. of Year	Accumulated Depreciation End of Year	Book Value Beg. of Year	Book Value End of Year	FMV End of Year
1	Leasehold Improvements	410,438	313,986	313,986	96,452	56,578	56,578

statement B

Part II, Line 15 (990-PF) - Other Assets

		259,996	541,585	541,585
Asset Description		Book Value Beg of Year	Book Value End of Year	FMV End of Year
1	Prepaid Expenses	129,591	136,180	136,180
2	Security Deposits	130,405	130,405	130,405
3	Prepaid Taxes		275,000	275,000

Statement 9

**Part II, Line 22 (990-PF) - Other Liabilities**

		4,796,264	5,350,818
Description		Beginning Balance	Ending Balance
1	Deferred Taxes	400,000	525,000
2	Deferred Rent	166,446	97,923
3	Postretirement Benefit Obligation	3,945,818	4,727,895
4	UBIT Payable	60,000	
5	NYS Inc Tax Payable	24,000	
6	Federal Excise Tax Payable	200,000	

Charles A Dana Foundation  
 Form 990 PF-Part II  
 06-6036761  
 Year 2019

Statement 5

	Line	column a Book Value	column b Book Value	column c Fair Value
Corporate Stock	10b			
Equities- Statement 5a		\$18,223,420	\$20,573,654	\$20,573,654
Sub-total		<u>\$18,223,420</u>	<u>\$20,573,654</u>	<u>\$20,573,654</u>
Mutual Funds :				
Osterweis Strategic Income Fund		\$4,073,719	\$5,190,322	\$5,190,322
Vanguard Global Strategies		\$4,769,739	\$0	\$0
Vanguard Intermediate Term Treasuries			\$4,974,593	\$4,974,593
Vanguard Emerging Markets		\$0	\$5,163,619	\$5,163,619
Vanguard Short Term Treasury		\$6,140,763	\$16,448,925	\$16,448,925
Sub-total		<u>\$14,984,221</u>	<u>\$31,777,459</u>	<u>\$31,777,459</u>
Total Corporate and Mutual Funds Stock	10b	<u>\$33,207,641</u>	<u>\$52,351,113</u>	<u>\$52,351,113</u>

The Charles A. Dana Foundation, Incorporated  
ID No. 06-6036761

Statement 12

Year 2019

PART VII-B  
Question 5c

Form 990-PF

**STATEMENT on EXPENDITURE RESPONSIBILITY**

**1. Grantee's name and address:**

Dana Alliance for Brain Initiatives, Inc.  
505 Fifth Avenue, 6th Fl  
New York, New York 10017

**2. Date and amount of grant.**

Grants totaling \$2,703,832 were paid to Dana Alliance during 2019

**3. Purpose of grant:**

The purpose of the grants was to provide for the general support of Dana Alliance to enable it to carry out its charitable purposes.

**4. As of December 31, 2019 the entire grant had been expended by Dana Alliance.**

5. To the knowledge of the taxpayer, no portion of the funds contributed by Dana Foundation have been diverted by Dana Alliance from the purposes of the grant.

**6. Dana Alliance provided Dana Foundation with a 2019 Annual Report in June 2020**

The purpose of this statement is to satisfy the report-making requirements of Section 4945 (h) (3) of the Internal Revenue Code of 1986, as amended, regarding taxpayer expenditure responsibility.

The Charles A Dana Foundation

06-6036761

Statement 13A

Year 2019

Compensation reported in the 2019 Form 990PF of The Dana Alliance For Brain Initiatives, Inc. for directors and officers who are also directors and officers of the The Charles A. Dana Foundation, Incorporated that also received Compensation from The Dana Alliance for Brain Initiatives, Inc is as follows:

Form 990-PF  
List of Officers and Directors

Name and Address	Title/ Average Hours	Compensation	Employee Benefits	Expense Account
Edward F. Rover (Retired 2019) 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Chairman/President Director Hours - 9	\$120,819	\$19,365	\$0
Burton M.Mirsky 505 Fifth Avenue 6th Floor New York, N.Y. 10017	President/Tresurer Hours- 9	\$131,506	\$22,760	\$0
Barbara E. Gill 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Vice Pres/Secretary Hours- 32	\$331,141	\$80,209	\$0
Barbara Best 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Vice President Hours- 32	\$167,400	\$65,159	\$0
Steven E Hyman, MD 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Chairman Hours-2	\$0	\$0	\$0
	Totals	<u>\$750,866</u>	<u>\$187,493</u>	<u>\$0</u>



The Charles A. Dana Foundation, Incorporated

Statement 14

06-6036761

Year 2019

Form 990-PF

Part VIII, Line 2

List of Highest Paid Employees

Name and Address	Title/ Average Hours	Employee Compensation	Benefits	Expense Account
Carolyn Asbury 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Snr Consultant 35 Hours	\$213,900	\$44,733	\$0
James Rutt 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Director, IT 24 Hours	\$181,730	\$76,827	\$0
Mary Lucas 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Grants Manager 35 Hours	\$117,400	\$44,886	\$0
Patricia Mangini 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Dir Human Resources 32 Hours	\$90,263	\$55,374	\$0
Brigida Gay 505 Fifth Avenue 6th Floor New York, N.Y. 10017	Controller 32 Hours	\$89,550	\$41,300	\$0
Grand Total		<u>\$692,843</u>	<u>\$263,120</u>	<u>\$0</u>

The Charles A. Dana Foundation, Incorporated  
06-6036761  
2019

Statement 15

Form 990-PF, Part IX-A

Summary of Four Largest Direct Charitable Activities: **Total Expenses: \$4,642,449**

**GRANTS:** The Foundation administers the various programs that support research in science and health, through the specifically designed objectives established by the Foundation's Board of Directors. The Foundation's principal interest is in neuroscience, but also supports qualified civic and cultural organizations and maintains a matching charitable gifts program for its employees. The 2019 charitable gifts awarded and paid by the Foundation are listed in Statement 17

**Expenses: \$2,282,161**

**OUTREACH—News Office:** The Foundation identifies media opportunities and facilitates news coverage of areas of interest to the Foundation. It also acts as an in-house resource for journalists for neuroscience information, providing background on topics and access to experts in the field. In 2019, the Foundation: (1) published four briefing papers and four grantee Q&A's, and recorded 11 Cerebrum author interview podcasts; (2) sent tailored Brain Awareness Week pitches to science, health, and education reporters; (3) wrote and distributed media advisories for the Successful Aging & Your Brain program; (4) wrote and distributed a media alert for the New York City Regional Brain Bee; and (5) maintained the online Expert Directory of Dana Alliance members, specifically for the media. The Foundation launched a new Brain Awareness Week sticker design contest open to people of all ages and around the globe. Prizes awarded to the top three winners were valued at less than \$600 total.

**Expenses: \$865,436**

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**OUTREACH--WEBSITE:** The Dana Foundation website features weekly stories on brain science; blog posts; a user-friendly search engine; grants information; subscription features; links to social media; and all Foundation publications. The website includes regularly edited resource sections, including audience pages for kids, seniors, educators, and patients and caregivers, as well as sections on neuroeducation and neuro-ethics. The European Dana Alliance for the Brain website provides access to publications in multiple languages and links to international neuroscience research organizations. The Brain Awareness Week website offers partners and the public access to the international calendar; free downloadable materials; educational resources; and information about the annual campaign.

**Expenses: \$845,998**

**OUTREACH--PUBLICATIONS:** Each month, the Foundation publishes *Brain in the News* (BITN) and *Cerebrum*. BITN is published in print, and *Cerebrum* is an online journal, but an anthology of the year's articles and book reviews is available in print under the Dana Press imprint. The Foundation publishes online the "Report on Progress" quarterly.

**Expenses: \$648,854**