

Form 990-PF

Return of Private Foundation

1711

OMB No. 1545-0052

2016

Department of the Treasury Internal Revenue Service

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.

Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

Open to Public Inspection

For calendar year 2016 or tax year beginning

12/01, 2016, and ending

11/30, 2017

Name of foundation THE HAUSER FOUNDATION, INC.

A Employer identification number 11-0016142

C/O MRS. RITA HAUSER

B Telephone number (see instructions)

Number and street (or P.O. box number if mail is not delivered to street address) Room/suite

(212) 956-3645

700 PARK AVE STE 8 FL 2

City or town, state or province, country, and ZIP or foreign postal code

NEW YORK, NY 10021-0104

C If exemption application is pending, check here. [ ] 6

G Check all that apply: Initial return, Final return, Address change, Initial return of a former public charity, Amended return, Name change

D 1. Foreign organizations, check here. [ ]

2. Foreign organizations meeting the 85% test, check here and attach computation. [ ]

H Check type of organization: [X] Section 501(c)(3) exempt private foundation, [ ] Section 4947(a)(1) nonexempt charitable trust, [ ] Other taxable private foundation 04

E If private foundation status was terminated under section 507(b)(1)(A), check here. [ ]

I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 35,413,776. J Accounting method: [X] Cash, [ ] Accrual, [ ] Other (specify)

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here. [ ]

Table with 5 columns: (a) Revenue and expenses per books, (b) Net investment income, (c) Adjusted net income, (d) Disbursements for charitable purposes. Rows include Revenue (1-12), Operating and Administrative Expenses (13-26), and Summary (27).

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SCANNED MAY 15 2018

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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 . . . . .	1,120,459.	77,820.	77,820.
	2	Savings and temporary cash investments . . . . .		2,247,509.	2,247,509.
	3	Accounts receivable ▶			
		Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable . . . . .			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use . . . . .			
	9	Prepaid expenses and deferred charges . . . . .			
	10a	Investments - U.S. and state government obligations (attach schedule) [ 7 ]	13,302,276.	9,384,900.	9,050,453.
	b	Investments - corporate stock (attach schedule) ATCH 8	11,914,566.	12,157,068.	15,530,140.
	c	Investments - corporate bonds (attach schedule) ATCH 9	5,800,340.	8,389,340.	8,446,843.
	11	Investments - land, buildings, and equipment basis			
	Less accumulated depreciation (attach schedule) ▶				
12	Investments - mortgage loans . . . . .				
13	Investments - other (attach schedule) . . . . .				
14	Land, buildings, and equipment basis ▶ 293,395.			ATCH 10	
	Less accumulated depreciation (attach schedule) ▶ 268,313.	49,943.	25,082.	25,082.	
15	Other assets (describe ▶ ATCH 11 )	35,929.	35,929.	35,929.	
16	Total assets (to be completed by all filers - see the instructions Also, see page 1, item I) . . . . .	32,223,513.	32,317,648.	35,413,776.	
Liabilities	17	Accounts payable and accrued expenses . . . . .			
	18	Grants payable . . . . .			
	19	Deferred revenue . . . . .			
	20	Loans from officers, directors, trustees, and other disqualified persons . . . . .			
	21	Mortgages and other notes payable (attach schedule) . . . . .			
	22	Other liabilities (describe ▶ )			
23	Total liabilities (add lines 17 through 22) . . . . .	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted . . . . .			
	25	Temporarily restricted . . . . .			
	26	Permanently restricted . . . . .			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input checked="" type="checkbox"/>				
	27	Capital stock, trust principal, or current funds . . . . .			
	28	Paid-in or capital surplus, or land, bldg, and equipment fund . . . . .	10,902,008.	10,902,008.	
29	Retained earnings, accumulated income, endowment, or other funds . . . . .	21,321,505.	21,415,640.		
30	Total net assets or fund balances (see instructions) . . . . .	32,223,513.	32,317,648.		
31	Total liabilities and net assets/fund balances (see instructions) . . . . .	32,223,513.	32,317,648.		

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 32,223,513.
2	Enter amount from Part I, line 27a . . . . .	2 94,135.
3	Other increases not included in line 2 (itemize) ▶	3
4	Add lines 1, 2, and 3 . . . . .	4 32,317,648.
5	Decreases not included in line 2 (itemize) ▶	5
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 . . . . .	6 32,317,648.

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

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr)	(d) Date sold (mo., day, yr)
1 a SEE PART IV 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				
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) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any		
a				
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	170,382.
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 does not qualify under section 4940(e) Do not complete this part

1	(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	308,269.	31,428,527.	0.009809
	2014	1,512,979.	31,738,009.	0.047671
	2013	2,873,005.	33,873,778.	0.084815
	2012	3,671,192.	34,528,494.	0.106324
	2011	3,002,195.	36,150,503.	0.083047
2	Total of line 1, column (d)			0.331666
3	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.			0.066333
4	Enter the net value of noncharitable-use assets for 2016 from Part X, line 5			33,227,350.
5	Multiply line 4 by line 3.			2,204,070.
6	Enter 1% of net investment income (1% of Part I, line 27b).			4,988.
7	Add lines 5 and 6.			2,209,058.
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			377,267.

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

Table with 11 rows for excise tax calculations. Includes sub-rows 6a-6d for credits and payments. Total tax due is 6,319.

Part VII-A Statements Regarding Activities

Table with 10 rows of activity statements. Includes questions about political campaigns, tax on political expenditures, and substantial contributors. Includes handwritten '2' next to row 9.

Part VII-A Statements Regarding Activities (continued)

11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).
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)
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application?
Website address N/A
14 The books are in care of RITA HAUSER Telephone no 212-956-3645
Located at 700 PARK AVE, STE 8 FL 2 NEW YORK, NY ZIP+4 10021-0104
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.
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?

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.

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?
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?
(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)?
(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).
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
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?
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?
If "Yes," list the years
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)
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?
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)
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?
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?

**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)? . . . . .  Yes  No  
 Organizations relying on a current notice regarding disaster assistance check here . . . . .

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? . . . . .  Yes  No  
 If "Yes," attach the statement required by Regulations section 53.4945-5(d)

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? . . . . .  Yes  No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . . . .  Yes  No  
 If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? . . . . .  Yes  No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? . . . . .  Yes  No

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

**1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATCH 12		0.	8,241.	0.

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATCH 13		84,000.	8,400.	0.

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

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

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		

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

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

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

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	
2	
All other program-related investments See instructions	
3 NONE	
Total. Add lines 1 through 3 . . . . . ▶	

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities . . . . .	1a	32,169,991.
b	Average of monthly cash balances . . . . .	1b	1,502,348.
c	Fair market value of all other assets (see instructions). . . . .	1c	61,011.
d	Total (add lines 1a, b, and c) . . . . .	1d	33,733,350.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) . . . . .	1e	
2	Acquisition indebtedness applicable to line 1 assets . . . . .	2	
3	Subtract line 2 from line 1d . . . . .	3	33,733,350.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	4	506,000.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4 . . . . .	5	33,227,350.
6	Minimum investment return. Enter 5% of line 5 . . . . .	6	1,661,368.

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

1	Minimum investment return from Part X, line 6 . . . . .	1	1,661,368.
2a	Tax on investment income for 2016 from Part VI, line 5 . . . . .	2a	9,975.
b	Income tax for 2016 (This does not include the tax from Part VI) . . . . .	2b	
c	Add lines 2a and 2b . . . . .	2c	9,975.
3	Distributable amount before adjustments. Subtract line 2c from line 1 . . . . .	3	1,651,393.
4	Recoveries of amounts treated as qualifying distributions . . . . .	4	
5	Add lines 3 and 4 . . . . .	5	1,651,393.
6	Deduction from distributable amount (see instructions). . . . .	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1. . . . .	7	1,651,393.

**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	377,267.
b	Program-related investments - total from Part IX-B . . . . .	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes . . . . .	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required) . . . . .	3a	
b	Cash distribution test (attach the required schedule) . . . . .	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 . . . . .	4	377,267.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions) . . . . .	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4 . . . . .	6	377,267.

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
1 Distributable amount for 2016 from Part XI, line 7 . . . . .				1,651,393.
2 Undistributed income, if any, as of the end of 2016.				
a Enter amount for 2015 only. . . . .				
b Total for prior years 20 14 , 20 13 , 20 12 . . . . .				
3 Excess distributions carryover, if any, to 2016				
a From 2011 . . . . .	1,211,762.			
b From 2012 . . . . .	1,970,085.			
c From 2013 . . . . .	1,205,382.			
d From 2014 . . . . .				
e From 2015 . . . . .				
f Total of lines 3a through e . . . . .	4,387,229.			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ 377,267.				
a Applied to 2015, 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 2016 distributable amount. . . . .				377,267.
e Remaining amount distributed out of corpus. . . . .				
5 Excess distributions carryover applied to 2016 . (If an amount appears in column (d), the same amount must be shown in column (a) )	1,274,126.			1,274,126.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	3,113,103.			
b Prior years' undistributed income Subtract line 4b from line 2b. . . . .				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed . . . . .				
d Subtract line 6c from line 6b Taxable amount - see instructions . . . . .				
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount - see instructions . . . . .				
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017. . . . .				
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 2011 not applied on line 5 or line 7 (see instructions) . . . . .				
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a . . . . .	3,113,103.			
10 Analysis of line 9				
a Excess from 2012 . . . . .	1,907,721.			
b Excess from 2013 . . . . .	1,205,382.			
c Excess from 2014 . . . . .				
d Excess from 2015 . . . . .				
e Excess from 2016 . . . . .				

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

NOT APPLICABLE

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)

2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed . . . . .

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

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

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) )

RITA HAUSER

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

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

N/A

c Any submission deadlines

N/A

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

N/A

**Part XV** Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year SEE STATEMENT ATTACHED				269,500.
<b>Total</b> .....				269,500.
b Approved for future payment				
<b>Total</b> .....				



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) of the Code... 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...

Table with 4 columns: (a) Line no, (b) Amount involved, (c) Name of noncharitable exempt organization, (d) Description of transfers, transactions, and sharing arrangements. Row 1 contains N/A.

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

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

Sign Here Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge. Signature of officer or trustee: Rita E Hauser, Date: 4/4/18, Title: President.

Preparer Information Section: Print/Type preparer's name (ELDA DI RE), Preparer's signature (ELDA DI RE), Date (04/02/2018), Firm's name (ERNST & YOUNG U.S. LLP), Firm's address (5 TIMES SQUARE, NEW YORK, NY), Firm's EIN (34-656596), Phone no (212-773-3000).

**FORM 990-PF - PART IV  
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME**

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		TOTAL CAPITAL GAIN DISTRIBUTIONS					173,586.	
35,000.		35,000 FV CARMEL IND REDEV DIST CTFS PAR 38,204.					01/04/2013 -3,204.	12/27/2016
1,100,000.		1,100,000 FV CATHOLIC HEALTH 2012EXMT 1. 1,100,000.					02/26/2013	11/01/2017
1,000,000.		1,000,000 FV METROPOLITAN TRANSN AUTH NY 1,000,000.					08/12/2014	07/03/2017
1,200,000.		1,200,000 FV NEW YORK NY CITY TRANSITION 1,200,000.					03/21/2012	02/01/2017
400,000.		400,000 FV SAN FRANCISCO CALIF CITY & CN 400,000.					03/13/2013	11/01/2017
510,000.		510,000 FV SOUTHERN CALIF PUB PWR AUTH P 510,000.					06/05/2013	05/15/2017
500,000.		500,000 FV UNIVERSITY NC CHAPEL HILL UNI 500,000.					11/20/2012	02/01/2017
TOTAL GAIN (LOSS) .....							<u>170,382.</u>	

ATTACHMENT 1

FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
CHASE BANK	11.	11.
TOTAL	<u>11.</u>	<u>11.</u>

ATTACHMENT 2

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
MSDW #4765 DIVIDEND INCOME	10,561.	10,561.
MSDW #4765 FIXED SECURITIES TAXABLE INT	637,668.	637,668.
LESS: MSDW #4765 BOND PURCHASE INT TAX	-5,414.	-5,414.
LESS: MSDW #4765 BD PURCH INT(TAXABLE)CF	-2,795.	-2,795.
LESS: MSDW#4765 AMORT ADJ CORP BDS/NOTES	-289,816.	-289,816.
LESS: MSDW #4765 AMORT ADJ CORP BONDS CF	-1,050.	-1,050.
LESS: MSDW#4765 AMORT USGI BONDS	-9,440.	-9,440.
LESS: MSDW #4765 AMORT ADJ MORTG SEC BDS	-104.	-104.
MSDW #6422 INTEREST INCOME	10.	10.
MSDW #6422 DIVIDEND INCOME	102,562.	102,562.
TOTAL	<u>442,182.</u>	<u>442,182.</u>



THE HAUSER FOUNDATION, INC.

2016 FORM 990-PF

11-0016142

ATTACHMENT 3

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
ACCT FEES TO ERNST & YOUNG LLP	36,050.	18,025.		18,025.
TOTALS	<u>36,050.</u>	<u>18,025.</u>		<u>18,025.</u>

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
MANAGEMENT FEES TO MSDW	19,740.	19,740.
LEGAL FEES	5,000.	2,500.
TOTALS	<u>24,740.</u>	<u>22,240.</u>

THE HAUSER FOUNDATION, INC.

2016 FORM 990-PF

11-0016142

ATTACHMENT 5

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>CHARITABLE PURPOSES</u>
FICA	6,426.	3,213.	3,213.
TOTALS	<u>6,426.</u>	<u>3,213.</u>	<u>3,213.</u>

ATTACHMENT 6FORM 990PF, PART I - OTHER EXPENSES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>CHARITABLE PURPOSES</u>
OFFICE SUPPLIES	1,483.	741.	741.
POSTAGE	1,355.	677.	677.
MEMBERSHIP DUES	5,314.	2,657.	2,657.
NYS FILING FEES	750.		750.
SUI	142.	71.	71.
TELEPHONE CHARGES	15,022.	7,511.	7,511.
MEALS & ENTERTAINMENT	6,258.	3,129.	3,129.
OTHER MISC EXPENSES	4,123.	2,062.	2,062.
OTHER INSURANCE	537.	269.	268.
REPAIR & MAINTENANCE	829.		829.
TOTALS	<u>35,813.</u>	<u>17,117.</u>	<u>18,695.</u>

FORM 990PF, PART II - U.S. AND STATE OBLIGATIONSATTACHMENT 7

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
FNMA POOL 50065	44.	10.	10.
GNMA POOL 8608	8,663.	7,326.	7,232.
FNMA POOL 433596	8,179.	7,581.	7,824.
FEDERAL HOME LOAN BANKS	1,049,913.	1,036,805.	1,016,068.
US OBLIGATIONS TOTAL	<u>1,066,799.</u>	<u>1,051,722.</u>	<u>1,031,134.</u>
UNIVERSITY N C CHAPEL HILL UNI	501,920.		
NEW YORK NY CITY TRANSITIONAL	1,203,648.		
CALIFORNIA ST DEPT WTR RES CEN	34,548.	34,400.	35,225.
CALIFORNIA ST BE 1291 17DE01CA	765,000.	765,000.	769,911.
SOUTHERN CALIF PUB PWR AUTH	522,899.		
SAN FRANCISCO CALIF CITY & CNT	409,613.		
CARMEL IND REDEV DIST CTFS	2,425,403.	2,215,236.	1,897,754.
UNIV CA GENL BE 1296 18MY15UN	1,100,000.	1,100,000.	1,099,263.
OHIO ST MAJOR BE 4168 18JN15OH	1,071,467.	1,057,620.	1,083,142.
NEW YORK N Y GO BDS FISCAL	1,100,000.	1,100,000.	1,109,230.
NEW YORK N Y 6.810%	1,116,707.	1,077,032.	1,069,793.
METROPOLITAN TRANSN AUTH N Y	1,000,382.		
NEW YORK CITY TRANSITIONAL F	983,890.	983,890.	955,001.
STATE OBLIGATIONS TOTAL	<u>12,235,477.</u>	<u>8,333,178.</u>	<u>8,019,319.</u>
US AND STATE OBLIGATIONS TOTAL	<u>13,302,276.</u>	<u>9,384,900.</u>	<u>9,050,453.</u>

ATTACHMENT 8FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
MSIF GLOBAL FRANCHISE 18 SHS		370.	458.
MSIF GLOBAL FRANCHISE 162K SHS	2,786,295.	2,786,296.	4,103,896.
MSIF GLOBAL FRANCHISE 22K SHS	398,759.	398,760.	545,352.
MSIF GLOBAL FRANCHISE 2K SHS	42,217.	42,217.	54,298.
MSIF GLOBAL FRANCHISE 2K SHS	38,562.	38,562.	48,925.
MSIF GLOBAL FRANCHISE 9K SHS	170,733.	170,733.	216,611.
MSIF GLOBAL FRANCHISE 10K SHS	189,664.	189,665.	240,629.
MSIF GLOBAL FRANCHISE 3K SHS	63,648.	63,648.	73,414.
CONOCOPHILLIPS 32K SHS	1,997,875.	1,997,875.	1,646,869.
MSIF GLOBAL FRANCHISE 8K SHS	154,952.	154,952.	197,681.
MSIF GLOBAL FRANCHISE 1K SHS	21,540.	21,540.	25,921.
MSIF GLOBAL FRANCHISE 3K SHS	53,979.	53,979.	64,960.
MSIF GLOBAL FRANCHISE 20K SHS	402,503.	402,501.	513,494.
MSIF GLOBAL FRANCHISE 1K SHS	21,842.	21,842.	25,484.
MSIF GLOBAL FRANCHISE 4K SHS	73,001.	73,001.	89,385.
MSIF GLOBAL FRANCHISE 9K SHS	190,026.	190,026.	232,673.
MSIF GLOBAL FRANCHISE 7K SHS		138,994.	172,530.
MSIF GLOBAL FRANCHISE 71 SHS	1,538.	1,538.	1,794.
MSIF GLOBAL FRANCHISE 21K SHS	307,432.	307,432.	460,516.
MSIF GLOBAL FRANCHISE 306K SHS	5,000,000.	5,000,000.	6,682,978.
MSIF GLOBAL FRANCHISE 3K SHS		68,914.	85,541.
MSIF GLOBAL FRANCHISE 2K SHS		26,118.	38,103.
MSIF GLOBAL FRANCHISE 342 SHS		8,105.	8,628.
TOTALS	<u>11,914,566.</u>	<u>12,157,068.</u>	<u>15,530,140.</u>

ATTACHMENT 9FORM 990PF, PART II - CORPORATE BONDS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
INTEL CORP 2.350%		999,390.	995,640.
COSTCO WHOLESALE CORP 2.300%		996,670.	995,997.
GATHOLIC HEALTH 2012EXMT	1,103,185.		
GENERAL DYNAMICS 3.875%	633,884.	626,136.	639,487.
DUPONT EI NEMOUR 4.625%	1,062,105.	1,042,742.	1,067,874.
ORACLE CORP 2.375%	1,010,865.	1,005,806.	1,014,766.
IBM CORP 2.250%	1,001,398.	1,001,078.	1,004,823.
MASTERCARD INC 2.00%	988,903.	988,680.	987,860.
HOME DEPOT INC 2.000%		1,012,303.	1,009,427.
BANK OF NY MELLON CORP 2.200%		716,535.	730,969.
TOTALS	<u>5,800,340.</u>	<u>8,389,340.</u>	<u>8,446,843.</u>

ATTACHMENT 11

FORM 990PF, PART II - OTHER ASSETS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
ARTWORK	35,929.	35,929.	35,929.
TOTALS	<u>35,929.</u>	<u>35,929.</u>	<u>35,929.</u>



FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 12

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
RITA HAUSER 700 PARK AVE STE 8 FL 2 NEW YORK, NY 10021-0104	PRESIDENT		4,121.	
GUSTAVE HAUSER 700 PARK AVE STE 8 FL 2 NEW YORK, NY 10021-0104	VP, SEC, TRE		4,120.	
RONALD J. STEIN STROOCK, STROOCK & LAVAN 180 MAIDEN LANE NEW YORK, NY 10038	DIRECTOR			
ETTA BRANDMAN STROOCK, STROOCK & LAVAN 180 MAIDEN LANE NEW YORK, NY 10038	DIRECTOR			
	GRAND TOTALS	<u>0.</u>	<u>8,241.</u>	<u>0.</u>

990PF, PART VIII - COMPENSATION OF THE FIVE HIGHEST PAID EMPLOYEESATTACHMENT 13

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
PATRICIA A. WEINSTEIN KEW GARDENS NEW YORK, NY 11415	40.00	84,000.	8,400.	0.
	TOTAL COMPENSATION	<u>84,000.</u>	<u>8,400.</u>	<u>0.</u>