

Department of the Treasury  
Internal Revenue Service

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

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

2014

Open to Public Inspection

For calendar year 2014 or tax year beginning , 2014, and ending , 20

Name of foundation THE J.M. KAPLAN FUND, INC.

C/O CONDON O'MEARA MCGINTY &amp; DONNELLY

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

Room/suite

ONE BATTERY PARK PLAZA

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

NEW YORK, NY 10004-1405

G Check all that apply:

Initial return

Initial return of a former public charity

Final return

Amended return

Address change

Name change

H Check type of organization:

☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust☐ Other taxable private foundation

I Fair market value of all assets at

end of year (from Part II, col. (c), line

16) \$ 145,729,243.

J Accounting method:

☐ Cash☒ Accrual☐ Other (specify) \_\_\_\_\_

(Part I, column (d) must be on cash basis.)

A Employer identification number

13-6090286

B Telephone number (see instructions)

(212) 661-7777

C If exemption application is  
pending, check here ☐D 1. Foreign organizations, check here ☐2. Foreign organizations meeting the  
85% test, check here and attach  
computation ☐E If private foundation status was terminated  
under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination  
under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)				
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	250.	250.		ATCH 1
	4 Dividends and interest from securities	253,749.	2,882,295.		ATCH 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	6,903,201.			
	b Gross sales price for all assets on line 6a	9,219,941.			
	7 Capital gain net income (from Part IV, line 2)		7,639,262.		
	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) ATCH 3	11,122,260.	1,344,597.			
12 Total. Add lines 1 through 11	18,279,460.	11,866,404.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.	262,520.	47,130.		215,390.
	14 Other employee salaries and wages	436,653.	61,001.		261,004.
	15 Pension plans, employee benefits	134,919.	31,350.		115,157.
	16a Legal fees (attach schedule) ATCH 4	32,088.			19,902.
	b Accounting fees (attach schedule) ATCH 5	25,600.	15,360.		14,735.
	c Other professional fees (attach schedule) [6]	842,790.	473,633.		374,028.
	17 Interest ATCH 7		11,648.		
	18 Taxes (attach schedule) (see instructions) [8]	264,419.	71,987.		35,893.
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy	294,521.	29,452.		347,534.
	21 Travel, conferences, and meetings	110,431.	22,086.		89,810.
	22 Printing and publications	4,917.	983.		3,934.
	23 Other expenses (attach schedule) ATCH 9	181,829.	1,544,733.		145,134.
	24 Total operating and administrative expenses. Add lines 13 through 23.	2,590,687.	2,309,363.		1,622,521.
	25 Contributions, gifts, grants paid	7,644,546.			6,060,140.
26 Total expenses and disbursements. Add lines 24 and 25	10,235,233.	2,309,363.	0	7,682,661.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	8,044,227.				
b Net investment income (if negative, enter -0-)		9,557,041.			
c Adjusted net income (if negative, enter -0-)					

**Part II Balance Sheets**

Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
<b>Assets</b>	1 Cash - non-interest-bearing . . . . .	500.	500.	500.
	2 Savings and temporary cash investments . . . . .	11,290,473.	11,020,612.	11,020,612.
	3 Accounts receivable ▶ 21.			
	Less: allowance for doubtful accounts ▶	7,510,028.	21.	21.
	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) ▶ *		* 247,324.	ATCH 10
	Less: allowance for doubtful accounts ▶	280,905.	247,324.	247,324.
	8 Inventories for sale or use . . . . .			
	9 Prepaid expenses and deferred charges . . . . . ATCH 11	71,139.	127,273.	127,273.
	10a Investments - U.S. and state government obligations (attach schedule) [12]	3,117,165.	7,125,293.	7,125,293.
	b Investments - corporate stock (attach schedule) ATCH 13	10,002,412.	9,659,599.	9,659,599.
	c Investments - corporate bonds (attach schedule) ATCH 14	1,618,069.	1,717,207.	1,717,207.
	11 Investments - land, buildings, and equipment: basis ▶			
Less: accumulated depreciation (attach schedule) ▶				
12 Investments - mortgage loans . . . . . ATCH 15	110,639,441.	115,770,411.	115,770,411.	
13 Investments - other (attach schedule) . . . . . ATCH 15				
14 Land, buildings, and equipment: basis ▶ 3,503.				
Less: accumulated depreciation (attach schedule) ▶	3,503.	3,503.	3,503.	
15 Other assets (describe ▶ ATCH 16)	57,500.	57,500.	57,500.	
16 <b>Total assets</b> (to be completed by all filers - see the instructions. Also, see page 1, item I) . . . . .	144,591,135.	145,729,243.	145,729,243.	
<b>Liabilities</b>	17 Accounts payable and accrued expenses . . . . .	110,646.	105,255.	
	18 Grants payable . . . . .	1,327,799.	2,912,204.	
	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 ▶ ATCH 17)	50,000.	102,742.	
	23 <b>Total liabilities</b> (add lines 17 through 22) . . . . .	1,488,445.	3,120,201.	
<b>Net Assets or Fund Balances</b>	<b>Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/></b> <b>and complete lines 24 through 26 and lines 30 and 31.</b>			
	24 Unrestricted . . . . .			
	25 Temporarily restricted . . . . .			
	26 Permanently restricted . . . . .			
	<b>Foundations that do not follow SFAS 117, . . . ▶ <input checked="" type="checkbox"/></b> <b>check here and complete lines 27 through 31.</b>			
	27 Capital stock, trust principal, or current funds . . . . .	18,370,506.	18,370,506.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund . . . . .	124,732,184.	124,238,566.	
	29 Retained earnings, accumulated income, endowment, or other funds . . . . .	143,102,690.	142,609,072.	
30 <b>Total net assets or fund balances</b> (see instructions) . . . . .				
31 <b>Total liabilities and net assets/fund balances</b> (see instructions) . . . . .	144,591,135.	145,729,273.		

**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	143,102,690.
2 Enter amount from Part I, line 27a . . . . .	2	8,044,227.
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3 . . . . .	4	151,146,917.
5 Decreases not included in line 2 (itemize) ▶ ATCH 18	5	8,537,845.
6 <b>Total net assets or fund balances at end of year</b> (line 4 minus line 5) - Part II, column (b), line 30 . . . . .	6	142,609,072.

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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.)**1a** 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)
<b>a</b>			
<b>b</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) 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	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
<b>a</b>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

**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**

7,639,262.

**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** 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))
2013	7,213,665.	136,544,350.	0.052830
2012	7,873,165.	132,036,889.	0.059629
2011	9,843,828.	134,793,179.	0.073029
2010	8,592,741.	130,964,884.	0.065611
2009	11,498,922.	122,925,341.	0.093544

**2** Total of line 1, column (d)**2**

0.344643

**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**3**

0.068929

**4** Enter the net value of noncharitable-use assets for 2014 from Part X, line 5**4**

143,960,146.

**5** Multiply line 4 by line 3**5**

9,923,029.

**6** Enter 1% of net investment income (1% of Part I, line 27b)**6**

95,570.

**7** Add lines 5 and 6**7**

10,018,599.

**8** Enter qualifying distributions from Part XII, line 4**8**

7,682,661.

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.

**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)		1	191,141.
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. . . . .			
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	
3 Add lines 1 and 2. . . . .		3	191,141.
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	191,141.
6 Credits/Payments:			
a 2014 estimated tax payments and 2013 overpayment credited to 2014. . . . .	6a	159,744.	
b Exempt foreign organizations - tax withheld at source. . . . .	6b		
c Tax paid with application for extension of time to file (Form 8868). . . . .	6c		
d Backup withholding erroneously withheld . . . . .	6d		
7 Total credits and payments. Add lines 6a through 6d. . . . .	7	159,744.	
8 Enter any penalty for underpayment of estimated tax. Check here <input 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	31,397.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid . . . . .	10		
11 Enter the amount of line 10 to be: Credited to 2015 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/> . . . . .	11		

**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. ► \$ _____ (2) On foundation managers. ► \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ► \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . . . 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) ► NY, _____		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? 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 2014 or the taxable year beginning in 2014 (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)**

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		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).	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <b>WWW.JMKFUND.ORG</b>	13	X	
14	The books are in care of <b>THE J.M. KAPLAN FUND</b> Telephone no. <b>212-661-7777</b> Located at <b>ONE BATTERY PARK PLAZA, 7TH FLOOR NEW YORK, NY</b> ZIP+4 <b>10004-1405</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>			
16	At any time during calendar year 2014, 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, (formerly TD F 90-22.1). If "Yes," enter the name of the foreign country	16	Yes	No 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 type="checkbox"/> Yes <input checked="" 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"/>	1b	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 2014?	1c	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 2014, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2014? <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 not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	2b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.		
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 2014 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 2014.)	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	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 2014?	4b	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? ☒ 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 ☒ Nob 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?

**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
SEE ATTACHED SCHEDULE		262,520.	44,539.	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 19		400,935.	127,108.	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 (see instructions). If none, enter "NONE."**

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
ATCH 20		432,665.
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 NOT APPLICABLE	
2	
3	
4	

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

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

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**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	134,808,005.
b	Average of monthly cash balances	1b	10,463,568.
c	Fair market value of all other assets (see instructions)	1c	880,859.
d	<b>Total</b> (add lines 1a, b, and c)	1d	146,152,432.
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	146,152,432.
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	2,192,286.
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	5	143,960,146.
6	<b>Minimum investment return.</b> Enter 5% of line 5	6	7,198,007.

**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	7,198,007.
2a	Tax on investment income for 2014 from Part VI, line 5	2a	191,141.
b	Income tax for 2014. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	191,141.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	7,006,866.
4	Recoveries of amounts treated as qualifying distributions	4	10,000.
5	Add lines 3 and 4	5	7,016,866.
6	Deduction from distributable amount (see instructions)	6	
7	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	7,016,866.

**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	7,682,661.
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	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	7,682,661.
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	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	6	7,682,661.

**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 2013	(c) 2013	(d) 2014
<b>1</b> Distributable amount for 2014 from Part XI, line 7 . . . . .				7,016,866.
<b>2</b> Undistributed income, if any, as of the end of 2014:				
<b>a</b> Enter amount for 2013 only . . . . .				
<b>b</b> Total for prior years: 20 <u>12</u> , 20 <u>11</u> , 20 <u>10</u> . . . . .				
<b>3</b> Excess distributions carryover, if any, to 2014:				
<b>a</b> From 2009 . . . . .	5,399,427.			
<b>b</b> From 2010 . . . . .	2,030,366.			
<b>c</b> From 2011 . . . . .	3,383,845.			
<b>d</b> From 2012 . . . . .	1,582,772.			
<b>e</b> From 2013 . . . . .	427,339.			
<b>f</b> Total of lines 3a through e . . . . .	12,823,749.			
<b>4</b> Qualifying distributions for 2014 from Part XII, line 4: ► \$ <u>7,682,661.</u>				
<b>a</b> Applied to 2013, but not more than line 2a . . . . .				
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions) . . . . .				
<b>c</b> Treated as distributions out of corpus (Election required - see instructions) . . . . .				
<b>d</b> Applied to 2014 distributable amount . . . . .				7,016,866.
<b>e</b> Remaining amount distributed out of corpus . . . . .	665,795.			
<b>5</b> Excess distributions carryover applied to 2014 . . . . . (If an amount appears in column (d), the same amount must be shown in column (a).)				
<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 . . . . .	13,489,544.			
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b . . . . .				
<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 . . . . .				
<b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions . . . . .				
<b>e</b> Undistributed income for 2013. Subtract line 4a from line 2a. Taxable amount - see instructions . . . . .				
<b>f</b> Undistributed income for 2014. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2015 . . . . .				
<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) . . . . .				
<b>8</b> Excess distributions carryover from 2009 not applied on line 5 or line 7 (see instructions) . . . . .	5,399,427.			
<b>9</b> Excess distributions carryover to 2015. Subtract lines 7 and 8 from line 6a . . . . .	8,090,117.			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2010 . . . . .	2,030,366.			
<b>b</b> Excess from 2011 . . . . .	3,383,845.			
<b>c</b> Excess from 2012 . . . . .	1,582,772.			
<b>d</b> Excess from 2013 . . . . .	427,339.			
<b>e</b> Excess from 2014 . . . . .	665,795.			

Form 990-PF (2014)

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

NOT APPLICABLE

- 1a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2014, 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) 2014

(b) 2013

(c) 2012

(d) 2011

- b** 85% of line 2a . . . . .

- C** Qualifying distributions from Part XII, line 4 for each year listed .

- d** Amounts included in line 2c not used directly for active conduct of exempt activities . . . . .

- e** Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c . . . . .

- 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)(iii) . . . . .

- (3) Largest amount of support from an exempt organization. . . .

- (4) Gross investment income .

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

- ### 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).)

ATTACHMENT 21

- 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:

- c Any submission deadlines:

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



**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>  ATCH 22				
<b>Total</b> . . . . . ► <b>3a</b>				6,060,140.
<b>b Approved for future payment</b>  ATCH 23				
<b>Total</b> . . . . . ► <b>3b</b>				2,912,205.

## 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) Related or exempt function income (See instructions.)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount		
1 Program service revenue:						
a _____						
b _____						
c _____						
d _____						
e _____						
f _____						
g Fees and contracts from government agencies						
2 Membership dues and assessments . . . . .						
3 Interest on savings and temporary cash investments			14	250.		
4 Dividends and interest from securities . . . . .			14	253,749.		
5 Net rental income or (loss) from real estate:						
a Debt-financed property . . . . .						
b Not debt-financed property . . . . .						
6 Net rental income or (loss) from personal property .						
7 Other investment income . . . . .						
8 Gain or (loss) from sales of assets other than inventory	900099	380,548.	18	6,522,653.		
9 Net income or (loss) from special events . . .						
10 Gross profit or (loss) from sales of inventory . .						
11 Other revenue: a _____						
b ATCH 24 _____		178,568.		10,933,692.		10,000.
c _____						
d _____						
e _____						
12 Subtotal. Add columns (b), (d), and (e) . . . . .		559,116.		17,710,344.		10,000.
13 Total. Add line 12, columns (b), (d), and (e) . . . . .					13	18,279,460.

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

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

[illegible]



## 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 (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?  |       | Yes | No |
|--|-------|-----|----|
| a Transfers from the reporting foundation to a noncharitable exempt organization of:   |       |     |    |
| (1) Cash   | 1a(1) |     | X  |
| (2) Other assets   | 1a(2) |     | X  |
| b Other transactions:  |       |     |    |
| (1) Sales of assets to a noncharitable exempt organization   | 1b(1) |     | X  |
| (2) Purchases of assets from a noncharitable exempt organization   | 1b(2) |     | X  |
| (3) Rental of facilities, equipment, or other assets   | 1b(3) |     | X  |
| (4) Reimbursement arrangements   | 1b(4) |     | X  |
| (5) Loans or loan guarantees   | 1b(5) |     | X  |
| (6) Performance of services or membership or fundraising solicitations   | 1b(6) |     | X  |
| c Sharing of facilities, equipment, mailing lists, other assets, or paid employees   | 1c    |     | X  |
| d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. |       |     |    |


[illegible]

- 2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? . . . . . ☐ Yes ☒ No
- b** If "Yes," complete the following schedule.

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

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.

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

Print/Type preparer's name <b>JAMES J REILLY</b>	Preparer's signature 	Date <b>NOV 13 2015</b>	Check <input type="checkbox"/> if self-employed	PTIN <b>P00183769</b>
Firm's name ▶ <b>CONDON O'MEARA MCGINTY &amp; DONNELLY L</b>	Firm's EIN ▶ <b>13-3628255</b>			
Firm's address ▶ <b>ONE BATTERY PARK PLAZA NEW YORK, NY</b>	<b>10004-1405</b>	Phone no.	<b>212-661-7777</b>	

Form 990-PF (2014)

• If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box. ☒ **X**

**Note.** Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.

• If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1).

**Part II Additional (Not Automatic) 3-Month Extension of Time.** Only file the original (no copies needed).

<b>Type or print</b>	Enter filer's identifying number, see instructions	
	Name of exempt organization or other filer, see instructions. THE J.M. KAPLAN FUND, INC. C/O CONDON O'MEARA MCGINTY & DONNELLY	Employer identification number (EIN) or  13-6090286
	Number, street, and room or suite no. If a P.O. box, see instructions. ONE BATTERY PARK PLAZA	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. NEW YORK, NY 10004-1405	

Enter the Return code for the return that this application is for (file a separate application for each return) ☐ 0 ☒ 4

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01		
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

**STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.**

• The books are in the care of ☒ THE J.M. KAPLAN FUND, ONE BATTERY PARK PLAZA, 7TH FLOOR, NEW YORK, NY 1 Telephone No. ☒ 212 661-7777 Fax No. ☐

• If the organization does not have an office or place of business in the United States, check this box ☐

• If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ☐. If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

- 4 I request an additional 3-month extension of time until 11/15, 20 15.
- 5 For calendar year 2014, or other tax year beginning , 20 , and ending , 20 .
- 6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period
- 7 State in detail why you need the extension ALL THE INFORMATION NECESSARY TO COMPLETE THE RETURN IS NOT AND WILL NOT BE AVAILABLE BY THE DUE DATE. THEREFORE WE RESPECTIVELY REQUEST ADDITIONAL TIME TO COMPLETE THE RETURN.

8a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a \$	170,000.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b \$	170,000.
c <b>Balance Due.</b> Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c \$	0

**Signature and Verification must be completed for Part II only.**

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature

Title

Date

Form 8868 (Rev. 1-2014)

**Application for Extension of Time To File an  
Exempt Organization Return**

OMB No. 1545-1709

► File a separate application for each return.

► Information about Form 8868 and its instructions is at [www.irs.gov/form8868](http://www.irs.gov/form8868).

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒ **X**
- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form).

**Do not complete Part II unless** you have already been granted an automatic 3-month extension on a previously filed Form 8868.

**Electronic filing (e-file).** You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit [www.irs.gov/efile](http://www.irs.gov/efile) and click on *e-file for Charities & Nonprofits*.

**Part I Automatic 3-Month Extension of Time.** Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete

Part I only ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

Enter filer's identifying number, see instructions

<b>Type or print</b>  File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions. THE J.M. KAPLAN FUND, INC. C/O CONDON O'MEARA MCGINTY & DONNELLY	Employer identification number (EIN) or  13-6090286
	Number, street, and room or suite no. If a P.O. box, see instructions. ONE BATTERY PARK PLAZA	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. NEW YORK, NY 10004-1405	

Enter the Return code for the return that this application is for (file a separate application for each return)  0  4

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

- The books are in the care of ► THE J.M. KAPLAN FUND, ONE BATTERY PARK PLAZA, 7TH FLOOR NEW YORK, NY 1

Telephone No. ► 212 661-7777

FAX No. ►

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) . . . . . If this is for the whole group, check this box ☐ . If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

- 1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 08/15, 2015, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
- ☒ calendar year 2014 or
- ☐ tax year beginning \_\_\_\_\_, 20\_\_\_\_, and ending \_\_\_\_\_, 20\_\_\_\_.

- 2 If the tax year entered in line 1 is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a \$	170,000.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b \$	100,000.
c <b>Balance due.</b> Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c \$	70,000.

**Caution.** If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

For Privacy Act and Paperwork Reduction Act Notice, see instructions.

Form **8868** (Rev. 1-2014)

**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)	
3,325,782.		PUBLICALLY TRADED SECURITIES PROPERTY TYPE: SECURITIES 2,292,249.				P	1,033,533.	
		PARTNERSHIPS- SEE SCHEDULE ATTACHED PROPERTY TYPE: OTHER				P	9,142,337.	
5,894,159.		PARTNERSHIP LIQUIDATIONS PROPERTY TYPE: OTHER 8,050,219.				P	-2156060.	
		LESS: AMOUNT ATTRIBUTABLE TO UBI PROPERTY TYPE: OTHER				P	-380,548.	
TOTAL GAIN (LOSS) .....							<u>7,639,262.</u>	



**The J.M. Kaplan Fund, Inc**  
**990PF**

**31-Dec-14**

	<b>Cost</b>	<b>Proceeds</b>	<b>Gains/ Losses</b>	<b>Per Tax Return</b>
Asia Capital Debt Investors	\$ 434,572	\$ 434,572	\$ -	
AACP Tax Exempt	\$ 119,300	\$ 119,300	\$ -	
Special Opportunity Fund	\$ 544,610	\$ 726,139	\$ 181,529	
Pimco- See Attached	\$ -	\$ 158	\$ 158	
Dover Street VI	\$ 176,155	\$ 176,155	\$ -	
PFL	\$ 228,485	\$ 228,485	\$ -	
Special Situations	\$ 252,977	\$ 156,406	\$ (96,571)	
Sun Capital	\$ 364,209	\$ 364,209	\$ -	
Brookside	\$ 171,941	\$ 1,120,358	\$ 948,417	
<b>Marketable Traded Securities</b>	<b>\$ 2,292,249</b>	<b>\$ 3,325,782</b>	<b>\$ 1,033,533</b>	
Colchester Bond Fund-See attached	\$ 24,491	\$ 40,768	\$ 16,277	*
Spindrift--see attached	\$ -	\$ 38,712	\$ 38,712	*
Limited Partnership Gains	\$ -	\$ 5,814,679	\$ 5,814,679	*
<b>Limited Partnerships</b>	<b>\$ 24,491</b>	<b>\$ 5,894,159</b>	<b>\$ 5,869,668</b>	
	<b>\$ 2,316,740</b>	<b>\$ 9,219,941</b>	<b>\$ 6,903,201</b>	\$ 6,903,201
Limited Partnerships Gains and Losses	\$ -	\$ 9,142,337	\$ 9,142,337	
	<b>\$ 2,316,740</b>	<b>\$ 18,362,278</b>	<b>\$ 16,045,538</b>	\$ 16,045,538
Less: Partnership gains shown on Books Accounted for on K-1's	\$ -		\$ (5,869,668)	\$ (5,869,668) *
			\$ -	
Subtotal: Gains for Tax Purposes			<b>\$ 10,175,870</b>	
Gain(Loss) on Limited Partnerships liquidated				\$ (2,156,060)
Less: Gains from Partnerships subject to UBIT				\$ (380,548)
Total Gains for Tax Return				<b>\$ 7,639,262</b>

The J.M. Kaplan Fund, Inc.  
990PF December 31, 2014  
EIN: 13-6090286  
Partnership Gains and Losses

Adamas Opportunities 3yr	\$ 1,084,314
Asia Alternatives-Delaware	\$ 18,748
Avanti Strategic III-Passive	\$ 12,686
Brandywine Global	\$ 2,129,927
Brandywine Multi-Strat	\$ 4,343,484
Brandywine PE 2011	\$ 29,815
Brandywine PE 2012	\$ 23,664
Brandywine PE 2013	\$ (8)
Capital Z Partners	\$ (14,821)
Colchester Bond Fund	\$ 116,731
Dover Street V	\$ 19,099
Farallon Capital	\$ (710)
Keyhaven Capital	\$ 251,806
Cyprium II	\$ (56,018)
Cyprium III	\$ (481)
Metropolitan RE Global II	\$ 110,529
Metropolitan RE Partners IV	\$ 80,578
Metropolitan RE Partners Int'l II	\$ 88,014
Metropolitan RE Partners V	\$ (10,958)
Paul Capital VI	\$ (4,532)
Paul Capital VII(7.69%)	\$ 60,075
Paul Capital VIII	\$ 143,356
Prosepct Harbor	\$ 19,604
Special Opportunity Fund	\$ 206,001
Steel Japan	\$ (73,144)
TCV IV	\$ (184)
TCV V	\$ 4,356
Varde Fund VIII	\$ 47,085
Varde Fund IX	\$ 169,663
Venture Investment Assoc. IV	\$ 38,715
Venture Investment Assoc. V	\$ 111,397
Venture Inv. Assoc. VI	\$ 193,546

Total

\$ 9,142,337

**Information Return by a Shareholder of a Passive Foreign  
Investment Company or Qualified Electing Fund**

OMB No. 1545-1002

Attachment  
Sequence No. **69**

► Information about Form 8621 and its separate instructions is at [www.irs.gov/form8621](http://www.irs.gov/form8621).

Name of shareholder <b>THE J.M. KAPLAN FUND, INC.</b>		Identifying number (see instructions) <b>13-6090286</b>	
Number, street, and room or suite no. (If a P.O. box, see instructions.) <b>ONE BATTERY PARK PLAZA, 7TH FL</b>		Shareholder tax year: calendar year or other tax year beginning <b>1/1/2014</b> and ending <b>12/31/2014</b>	
City or town <b>NEW YORK</b>	State <b>NY</b>	ZIP code <b>10004-1405</b>	Foreign Country
Check type of shareholder filing the return: <input type="checkbox"/> Individual <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> S Corporation <input type="checkbox"/> Nongrantor Trust <input type="checkbox"/> Estate			
Name of passive foreign investment company (PFIC) or qualified electing fund (QEF) <b>SEE STATEMENTS ATTACHED</b>		Employer identification number (if any)	
Address (Enter number, street, city or town, and country.)		Reference ID number (see instructions)	
City State Zip Country		Tax year of PFIC or QEF: calendar year or other tax year beginning and ending	

**Part I Summary of Annual Information** (See instructions.)

Provide the following information with respect to all shares of the PFIC held by the shareholder:

- Description of each class of shares held by the shareholder: \_\_\_\_\_  
☐ Check if shares jointly owned with spouse.
- Date shares acquired during the taxable year, if applicable: \_\_\_\_\_
- Number of shares held at the end of the taxable year: \_\_\_\_\_
- Value of shares held at the end of the taxable year (check the appropriate box, if applicable):  
(a) ☐ \$0-50,000 (b) ☐ \$50,001-100,000 (c) ☐ \$100,001-150,000 (d) ☐ \$150,001-200,000  
(e) If more than \$200,000, list value: \_\_\_\_\_
- Type of PFIC and amount of any excess distribution or gain treated as an excess distribution under section 1291, inclusion under section 1293, or inclusion or deduction under section 1296:  
(a) ☒ Section 1291 \$ **SEE STATEMENT ATTACHED**  
(b) ☐ Section 1293 (Qualified Electing Fund) \$ \_\_\_\_\_  
(c) ☐ Section 1296 (Mark to Market) \$ \_\_\_\_\_

**Part II Elections** (See instructions.)

- A ☐ **Election To Treat the PFIC as a QEF.** I, a shareholder of a PFIC, elect to treat the PFIC as a QEF. *Complete lines 6a through 7c of Part III.*
- B ☐ **Election To Extend Time For Payment of Tax.** I, a shareholder of a QEF, elect to extend the time for payment of tax on the undistributed earnings and profits of the QEF until this election is terminated. *Complete lines 8a through 9c of Part III to calculate the tax that may be deferred.*
- Note:** If any portion of line 6a or line 7a of Part III is includible under section 951, you may **not** make this election. Also, see sections 1294(c) and 1294(f) and the related regulations for events that terminate this election.
- C ☐ **Election To Mark-to-Market PFIC Stock.** I, a shareholder of a PFIC, elect to mark-to-market the PFIC stock that is marketable within the meaning of section 1296(e). *Complete Part IV.*
- D ☐ **Deemed Sale Election.** I, a shareholder on the first day of a PFIC's first tax year as a QEF, elect to recognize gain on the deemed sale of my interest in the PFIC. *Enter gain or loss on line 15f of Part V.*
- E ☐ **Deemed Dividend Election.** I, a shareholder on the first day of a PFIC's first tax year as a QEF that is a controlled foreign corporation (CFC), elect to treat an amount equal to my share of the post-1986 earnings and profits of the CFC as an excess distribution. *Enter this amount on line 15e of Part V. If the excess distribution is greater than zero, also complete line 16 of Part V.*
- F ☐ **Election To Recognize Gain on Deemed Sale of PFIC.** I, a shareholder of a former PFIC or a PFIC to which section 1297(d) applies, elect to treat as an excess distribution the gain recognized on the deemed sale of my interest in the PFIC on the last day of its last tax year as a PFIC under section 1297(a). *Enter gain on line 15f of Part V.*
- G ☐ **Deemed Dividend Election With Respect to a Section 1297(e) PFIC.** I, a shareholder of a section 1297(e) PFIC, within the meaning of Regulations section 1.1297-3(a), elect to make a deemed dividend election with respect to the Section 1297(e) PFIC. My holding period in the stock of the Section 1297(e) PFIC includes the CFC qualification date, as defined in Regulations section 1.1297-3(d). *Enter the excess distribution on line 15e, Part V. If the excess distribution is greater than zero, also complete line 16, Part V.*
- H ☐ **Deemed Dividend Election With Respect to a Former PFIC.** I, a shareholder of a former PFIC, within the meaning of Regulations section 1.1298-3(a), elect to make a deemed dividend election with respect to the former PFIC. My holding period in the stock of the former PFIC includes the termination date, as defined in Regulations section 1.1298-3(d). *Enter the excess distribution on line 15e, Part V. If the excess distribution is greater than zero, also complete line 16, Part V.*

**Part III Income From a Qualified Electing Fund (QEF).** All QEF shareholders complete lines 6a through 7c. If you are making Election B, also complete lines 8a through 9c. (See instructions.)

<b>6a</b>	Enter your pro rata share of the ordinary earnings of the QEF . . . . .	<b>6a</b>		
<b>b</b>	Enter the portion of line 6a that is included in income under section 951 or that may be excluded under section 1293(g) . . . . .	<b>6b</b>		
<b>c</b>	Subtract line 6b from line 6a. Enter this amount on your tax return as ordinary income . . . . .		<b>6c</b>	
<b>7a</b>	Enter your pro rata share of the total net capital gain of the QEF . . . . .	<b>7a</b>		
<b>b</b>	Enter the portion of line 7a that is included in income under section 951 or that may be excluded under section 1293(g) . . . . .	<b>7b</b>		
<b>c</b>	Subtract line 7b from line 7a. This amount is a net long-term capital gain. Enter this amount in Part II of the Schedule D used for your income tax return. (See instructions.) . . . . .		<b>7c</b>	
<b>8a</b>	Add lines 6c and 7c . . . . .		<b>8a</b>	
<b>b</b>	Enter the total amount of cash and the fair market value of other property distributed or deemed distributed to you during the tax year of the QEF. (See instructions.) . . . . .	<b>8b</b>		
<b>c</b>	Enter the portion of line 8a not already included in line 8c that is attributable to shares in the QEF that you disposed of, pledged, or otherwise transferred during the tax year . . . . .	<b>8c</b>		
<b>d</b>	Add lines 8b and 8c . . . . .		<b>8d</b>	
<b>e</b>	Subtract line 8d from line 8a, and enter the difference (if zero or less, enter amount in brackets) . . . . .		<b>8e</b>	
<b>Important:</b> If line 8e is greater than zero, and no portion of line 6a or 7a is includible in income under section 951, you may make Election B with respect to the amount on line 8e.				
<b>9a</b>	Enter the total tax for the tax year (See instructions.) . . . . .	<b>9a</b>		
<b>b</b>	Enter the total tax for the tax year determined without regard to the amount entered on line 8e . . . . .	<b>9b</b>		
<b>c</b>	Subtract line 9b from line 9a. This is the deferred tax, the time for payment of which is extended by making Election B. See instructions . . . . .		<b>9c</b>	

**Part IV Gain or (Loss) From Mark-to-Market Election (See instructions.)**

<b>10a</b>	Enter the fair market value of your PFIC stock at the end of the tax year . . . . .	<b>10a</b>	
<b>b</b>	Enter your adjusted basis in the stock at the end of the tax year . . . . .	<b>10b</b>	
<b>c</b>	Subtract line 10b from line 10a. If a gain, do not complete lines 11 and 12. Include this amount as ordinary income on your tax return. If a loss, go to line 11 . . . . .	<b>10c</b>	
<b>11</b>	Enter any unreversed inclusions (as defined in section 1296(d)). . . . .	<b>11</b>	
<b>12</b>	Enter the loss from line 10c, but only to the extent of unreversed inclusions on line 11. Include this amount as an ordinary loss on your tax return . . . . .	<b>12</b>	
<b>13</b>	<b>If you sold or otherwise disposed of any section 1296 stock (see instructions) during the tax year:</b>		
<b>a</b>	Enter the fair market value of the stock on the date of sale or disposition . . . . .	<b>13a</b>	
<b>b</b>	Enter the adjusted basis of the stock on the date of sale or disposition . . . . .	<b>13b</b>	
<b>c</b>	Subtract line 13b from line 13a. If a gain, do not complete line 14. Include this amount as ordinary income on your tax return. If a loss, go to line 14 . . . . .	<b>13c</b>	
<b>14a</b>	Enter any unreversed inclusions (as defined in section 1296(d)) . . . . .	<b>14a</b>	
<b>b</b>	Enter the loss from line 13c, but only to the extent of unreversed inclusions on line 14a. Include this amount as an ordinary loss on your tax return. If the loss on line 13c exceeds unreversed inclusions on line 14a, complete line 14c . . . . .	<b>14b</b>	
<b>c</b>	Enter the amount by which the loss on line 13c exceeds unreversed inclusions on line 14a. Include this amount on your tax return according to the rules generally applicable for losses provided elsewhere in the Code and regulations . . . . .	<b>14c</b>	

**Note.** See instructions in case of multiple dispositions.



**Part V Distributions From and Dispositions of Stock of a Section 1291 Fund** (See instructions.)Complete a **separate Part V** for each excess distribution (see instructions).

<b>15a</b>	Enter your total distributions from the section 1291 fund during the current tax year with respect to the applicable stock. If the holding period of the stock began in the current tax year, see instructions . . . . .	<b>15a</b>	
<b>b</b>	Enter the total distributions (reduced by the portions of such distributions that were excess distributions but not included in income under section 1291(a)(1)(B)) made by the fund with respect to the applicable stock for each of the 3 years preceding the current tax year (or if shorter, the portion of the shareholder's holding period before the current tax year) . . . . .	<b>15b</b>	
<b>c</b>	Divide line 15b by 3. (See instructions if the number of preceding tax years is less than 3.) . . . . .	<b>15c</b>	
<b>d</b>	Multiply line 15c by 125% (1.25) . . . . .	<b>15d</b>	
<b>e</b>	Subtract line 15d from line 15a. This amount, if more than zero, is the excess distribution with respect to the applicable stock. If zero or less and you did not dispose of stock during the tax year, <b>do not</b> complete the rest of Part V. See instructions if you received more than one distribution during the current tax year. Also, see instructions for rules for reporting a nonexcess distribution on your income tax return . . . . .	<b>15e</b>	
<b>f</b>	Enter gain or loss from the disposition of stock of a section 1291 fund or former section 1291 fund. If a gain, complete line 16. If a loss, show it in brackets and <b>do not</b> complete line 16 . . . . .	<b>15f</b>	
<b>16a</b>	Attach a statement for each distribution and disposition. Show your holding period for each share of stock or block of shares held. Allocate the excess distribution to each day in your holding period. Add all amounts that are allocated to days in each tax year.		
<b>b</b>	Enter the total of the amounts determined in line 16a that are allocable to the current tax year and tax years before the foreign corporation became a PFIC (pre-PFIC tax years). Enter these amounts on your income tax return as other income . . . . .	<b>16b</b>	
<b>c</b>	Enter the aggregate increases in tax (before credits) for each tax year in your holding period (other than the current tax year and pre-PFIC years). (See instructions.) . . . . .	<b>16c</b>	
<b>d</b>	Foreign tax credit. (See instructions.) . . . . .	<b>16d</b>	
<b>e</b>	Subtract line 16d from line 16c. Enter this amount on your income tax return as "additional tax." (See instructions.) . . . . .	<b>16e</b>	
<b>f</b>	Determine interest on each net increase in tax determined on line 16e using the rates and methods of section 6621. Enter the aggregate amount of interest here. (See instructions.) . . . . .	<b>16f</b>	

**Part VI Status of Prior Year Section 1294 Elections and Termination of Section 1294 Elections**Complete a **separate column** for each outstanding election. Complete lines 25 and 26 only if there is a partial termination of the section 1294 election.

	(i)	(ii)	(iii)	(iv)	(v)	(vi)
<b>17</b> Tax year of outstanding election . . . . .						
<b>18</b> Undistributed earnings to which the election relates . . . . .						
<b>19</b> Deferred tax . . . . .						
<b>20</b> Interest accrued on deferred tax (line 19) as of the filing date . . . . .						
<b>21</b> Event terminating election . . . . .						
<b>22</b> Earnings distributed or deemed distributed during the tax year . . . . .						
<b>23</b> Deferred tax due with this return . . . . .						
<b>24</b> Accrued interest due with this return . . . . .						
<b>25</b> Deferred tax outstanding after partial termination of election.						
<b>26</b> Interest accrued after partial termination of election . . . . .						

**FORM 1065 - PARTNER'S SHARE OF INCOME, DEDUCTIONS, CREDITS, etc. - 2014**  
**SCHEDULE K-1 SUPPLEMENTAL INFORMATION**

<b>Partner's ID No.</b> 13-6090286	<b>Partnership's ID No.</b> 04-3514360
<b>Partner's name, address, and ZIP code</b> The J.M. Kaplan Fund, Inc. (3 YR) 261 Madison Ave New York, NY 10022	<b>Partnership's name, address, and ZIP code</b> Adamas Opportunities, L.P. The Pilot House @ Lewis Wharf Boston, MA 02110
<b>Supplemental information required to be reported separately to each partner:</b>	

**Internal Revenue Code (IRC) Section 1291 Investment(S)**

Adamas Opportunities, L.P. holds indirect interests in Passive Foreign Investment Companies ("PFICS") that are subject to IRC Section 1291 ("Section 1291 Fund(s)"). Although your allocable share of such Section 1291 Fund(s) income is already included within your Schedule K-1, you may be required to file Form 8621 to report your indirect interest in such Section 1291 Fund(s). Included below is the information necessary to complete the Form. The tax rules relating to PFIC investments are complex and you should consult with your tax advisor.

The amounts below are for 100% of the Partnership. Each partner should multiply these amounts by their respective percentage interest.

<u><b>PFIC Name</b></u>	<u><b>EIN Number</b></u>	<u><b>Date Acquired</b></u>	<u><b>Date Sold</b></u>	<u><b>Gain (Loss)</b></u>
Celf Loan Partners B.V. Luna Arena, Herikerbergweg 238 1101 CM Amsterdam Zuidoost, The Netherlands	N/A	11/23/2010	1/1/2014	3,948
Columbusnova Clo Ltd. 2006-I C/O Maplesfs Limited, P.O Box 1093, Boundary Hall, Cricket Square, Grand Cayman KY1-1102, Cayman Islands	N/A	3/8/2011	11/1/2014	(9,706)
Dryden IX - Senior Loan Fund 2005 Plc ( DFN) C/O Deutsche International Corporate Services (Ireland) Limited 5 Harbourmaster Place, Dublin 1, Ireland	N/A	6/8/2011	1/1/2014	394
Dryden IX - Senior Loan Fund 2005 Plc ( Efn) C/O Deutsche International Corporate Services (Ireland) Limited 5 Harbourmaster Place, Dublin 1, Ireland	N/A	3/15/2010	1/1/2014	2,447
NAC Euroloan Advantage I Limited 30 Herbert Street , Dublin 2, Ireland	N/A	11/12/2009	1/1/2014	29,489
Elex Alpha SA 9b Boulevard Du Prince Henri City, Luxembourg 1724	N/A	5/8/2010	1/1/2014	3,433
Gresham Capital Clo III B.V Luna Arena, Herikerbergweg 238 1101 CM Amsterdam Zuidoost, The Netherlands	N/A	5/18/2010	1/1/2014	152
Harbourmaster Clo 5 B.V Parnassustoren, Locatellikade 1, 1076, AZ Amsterdam, The Netherlands	N/A	10/18/2012	7/1/2014	(2,928)
Highlander Euro Cdo III B.V. Luna Arena, Herikerbergweg 238 1101 CM Amsterdam Zuidoost, PO Box 23393, 1100 DW Amsterdam-Zuidoost, The Netherlands	N/A	10/3/2012	12/1/2014	2,780

Your applicable percentage of loss is as follows: 0.00 %  
Your applicable percentage of gains is as follows: 0.90 %

**FORM 1065 - PARTNER'S SHARE OF INCOME, DEDUCTIONS, CREDITS, etc. - 2014**  
**SCHEDULE K-1 SUPPLEMENTAL INFORMATION**

<b>Partner's ID No. 13-6090286</b>	<b>Partnership's ID No. 04-3514360</b>
<b>Partner's name, address, and ZIP code</b> The J.M. Kaplan Fund, Inc. (3 YR) 261 Madison Ave New York, NY 10022	<b>Partnership's name, address, and ZIP code</b> Adamas Opportunities, L.P. The Pilot House @ Lewis Wharf Boston, MA 02110

**Supplemental information required to be reported separately to each partner:**

<b>PFIC Name</b>	<b>EIN Number</b>	<b>Date Acquired</b>	<b>Date Sold</b>	<b>Gain (Loss)</b>
Leveraged Finance Europe Capital III B.V. Luna Arena, Herikerbergweg 238 1101 CM Amsterdam Zuidoost, The Netherlands	N/A	2/8/2011	1/1/2014	(2,409)
Marquette US/European Clo, P.L.C. 2 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland	N/A	1/16/2011	4/1/2014	(460)
North Westerly Clo II B.V. Fred Roeskestraat, 123 Amsterdam, Netherlands 1076EE	N/A	9/27/2012	1/1/2014	(526)
Prospero Clo I B.V. C/O ATC Financial Services B.V. Fred. Roeskestraat 123, 1076 EE Amsterdam, The Netherlands	N/A	5/25/2011	1/1/2014	(3,933)
Prospero Clo II B.V. C/O ATC Financial Services B.V. Fred. Roeskestraat 123, 1076 EE Amsterdam, The Netherlands	N/A	5/25/2011	1/1/2014	(990)
Avoca Clo II B.V. Parnassustoren, Locatellikade 1, 1076, AZ Amsterdam, The Netherlands	N/A	3/17/2010	1/1/2014	(512)
GSC European Cdo V Plc 85 Merrion Square, Dublin 2, Ireland	N/A	2/10/2011	1/1/2014	2,334
Jubilee Clo V B.V. (Jubil V-X-E) Luna Arena, Herikerbergweg 238 1101 CM Amsterdam, The Netherlands	N/A	5/18/2010	1/1/2014	409
Jubilee Clo V B.V. (Jubil V-X-Y) Luna Arena, Herikerbergweg 238 1101 CM Amsterdam, The Netherlands	N/A	11/23/2010	1/1/2014	6,076
Katonah IX Clo Ltd P.O Box 1093 GT, Queensgate House, South Church Street, George Town, Grand Cayman Islands	N/A	6/24/2011	1/1/2014	4,980
Zais Investment Grade, Ltd C/O Maplesfs Limited, PO Box 1093, Queensgate House, South Church Street, George Town Ky1 - 1102, Cayman Islands	N/A	6/29/2012	1/1/2014	676
Treesdale Fixed Income Fund, Ltd	N/A	9/22/2011	1/16/2013	1,537
Treesdale Fixed Income Fund, Ltd	N/A	9/22/2011	7/15/2013	1,242
The Drake Absolute Return Fund, Ltd	N/A	8/1/2012	7/31/2013	1,257
The Drake Absolute Return Fund, Ltd	N/A	8/1/2012	10/7/2013	408
The Drake Global Opportunities Fund, Ltd	N/A	8/1/2012	7/31/2013	14
Treesdale Fixed Income Fund, Ltd	N/A	10/21/2011	1/16/2013	320
Treesdale Fixed Income Fund, Ltd	N/A	10/21/2011	7/15/2013	241

Your applicable percentage of loss is as follows: 0.00 %  
Your applicable percentage of gains is as follows: 0.90 %

**FORM 1065 - PARTNER'S SHARE OF INCOME, DEDUCTIONS, CREDITS, etc. - 2014**  
**SCHEDULE K-1 SUPPLEMENTAL INFORMATION**

<b>Partner's ID No.</b> 13-6090286	<b>Partnership's ID No.</b> 04-3514360
<b>Partner's name, address, and ZIP code</b> The J.M. Kaplan Fund, Inc. (3 YR) 261 Madison Ave New York, NY 10022	<b>Partnership's name, address, and ZIP code</b> Adamas Opportunities, L.P. The Pilot House @ Lewis Wharf Boston, MA 02110
<b>Supplemental information required to be reported separately to each partner:</b>	

<u>PFIC Name</u>	<u>EIN Number</u>	<u>Date Acquired</u>	<u>Date Sold</u>	<u>Gain (Loss)</u>
De Shaw Composite International Fund	N/A	4/1/2012	2/6/2013	5
De Shaw Composite International Fund	N/A	4/1/2012	5/8/2013	1
De Shaw Composite International Fund	N/A	4/1/2012	8/1/2013	7
De Shaw Composite International Fund	N/A	4/1/2012	11/6/2013	11
Fortress Value Recovery Fund I, Ltd	N/A	2/1/2012	4/12/2013	58
Fortress Value Recovery Fund I, Ltd	N/A	2/1/2012	6/28/2013	77
Fortress Value Recovery Fund I, Ltd	N/A	2/1/2012	9/26/2013	77
Fortress Value Recovery Fund I, Ltd	N/A	2/1/2012	12/17/2013	193
Strategic Value Restructuring Fund, Ltd	N/A	2/1/2012	5/29/2013	12
SVRF (Offshore) Holdings, Ltd	N/A	2/1/2012	6/19/2013	28
SVRF (Offshore) Holdings, Ltd	N/A	2/1/2012	7/16/2013	9
De Shaw Composite International Fund	N/A	4/1/2012	2/6/2013	18
De Shaw Composite International Fund	N/A	4/1/2012	5/8/2013	3
De Shaw Composite International Fund	N/A	4/1/2012	8/1/2013	22
De Shaw Composite International Fund	N/A	4/1/2012	11/6/2013	35
Trafalgar Kahal Jet Fund SPV	N/A	5/1/2012	2/8/2013	88
Trafalgar Kahal Jet Fund SPV	N/A	5/1/2012	6/26/2013	16
Tykhe Portfolios Limited	N/A	4/1/2012	3/5/2013	82
Tykhe Portfolios Limited	N/A	4/1/2012	4/10/2013	2
Tykhe Portfolios Limited	N/A	4/1/2012	9/9/2013	120
Waterfall Eden Fund, Ltd	N/A	6/1/2012	6/28/2013	256
Cheyne Special Situations Realising Fund Inc	N/A	5/1/2012	1/6/2013	96
Cheyne Special Situations Realising Fund Inc	N/A	5/1/2012	5/10/2013	134
Cheyne Special Situations Realising Fund Inc	N/A	5/1/2012	6/12/2013	213
Cheyne Special Situations Realising Fund Inc	N/A	5/1/2012	10/4/2013	184
Cheyne Special Situations Realising Fund Inc	N/A	5/1/2012	12/17/2013	353
De Shaw Composite International Fund	N/A	4/1/2012	2/6/2013	20
De Shaw Composite International Fund	N/A	4/1/2012	5/8/2013	4
De Shaw Composite International Fund	N/A	4/1/2012	8/1/2013	26
De Shaw Composite International Fund	N/A	4/1/2012	11/6/2013	42
Drawbridge Global Macro Fund Ltd	N/A	4/1/2012	10/4/2013	38
Avila Fund, Ltd	N/A	2/1/2012	12/31/2013	258
One East Partners International, Ltd	N/A	2/1/2012	2/1/2013	22
One East Partners International, Ltd	N/A	2/1/2012	8/27/2013	10
One East Partners International, Ltd	N/A	2/1/2012	8/27/2013	40
Drawbridge Global Macro Fund Ltd	N/A	4/1/2012	10/4/2013	8
The Drake Absolute Return Fund, Ltd	N/A	3/1/2012	7/31/2013	894
The Drake Absolute Return Fund, Ltd	N/A	3/1/2012	10/7/2013	290
The Drake Absolute Return Fund, Ltd	N/A	3/1/2012	12/6/2013	52
QVT SLV Offshore, Ltd	N/A	3/1/2012	2/14/2013	1,922
QVT SLV Offshore, Ltd	N/A	3/1/2012	7/5/2013	1,019
QVT SLV Offshore, Ltd	N/A	3/1/2012	12/20/2013	1,145
Amaranth International, Ltd	N/A	7/1/2012	11/12/2013	1,025

Your applicable percentage of loss is as follows: 0.00 %  
Your applicable percentage of gains is as follows: 0.90 %



**FORM 1065 - PARTNER'S SHARE OF INCOME, DEDUCTIONS, CREDITS, etc. - 2014**  
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**Supplemental information required to be reported separately to each partner:**

<b>PFIC Name</b>	<b>EIN Number</b>	<b>Date Acquired</b>	<b>Date Sold</b>	<b>Gain (Loss)</b>
Bennelong Asia Pacific Multi- Strategy Equity Fund, Ltd	N/A	7/1/2012	1/31/2013	32
Bennelong Asia Pacific Multi- Strategy Equity Fund, Ltd	N/A	7/1/2012	12/20/2013	13
Bennelong Asia Pacific Multi- Strategy Equity Fund, Ltd	N/A	7/1/2012	12/20/2013	9
De Shaw Composite International Fund	N/A	7/1/2012	2/5/2013	12
De Shaw Composite International Fund	N/A	7/1/2012	5/8/2013	2
De Shaw Composite International Fund	N/A	7/1/2012	8/1/2013	18
De Shaw Composite International Fund	N/A	7/1/2012	11/6/2013	31
Greywolf Capital Overseas Fund, Ltd	N/A	7/1/2012	7/24/2013	31
King Street Capital Ltd	N/A	7/1/2012	1/31/2013	22
King Street Capital Ltd	N/A	7/1/2012	4/2/2013	129
King Street Capital Ltd	N/A	7/1/2012	7/9/2013	1,400
King Street Capital Ltd	N/A	7/1/2012	9/11/2013	7
King Street Europe Ltd	N/A	7/1/2012	7/9/2013	28
Longacre SPV I, Ltd	N/A	7/1/2012	4/6/2013	109
Longacre SPV I, Ltd	N/A	7/1/2012	9/20/2013	53
Longacre SPV II, Ltd	N/A	7/1/2012	4/15/2013	77
Longacre SPV II, Ltd	N/A	7/1/2012	9/20/2013	53
Longacre SPV IV, Ltd	N/A	7/1/2012	4/18/2013	496
Longacre SPV IV, Ltd	N/A	7/1/2012	9/20/2013	194
Lyrical Opportunity Partners II, Ltd	N/A	7/1/2012	2/27/2013	524
The Raptor Private Holdings, Ltd	N/A	7/1/2012	3/28/2013	70
The Raptor Private Holdings, Ltd	N/A	7/1/2012	12/19/2013	30
Scoggin Overseas Fund, Ltd	N/A	7/1/2012	1/6/2013	110
Scoggin Overseas Fund, Ltd	N/A	7/1/2012	4/26/2013	99
Scoggin Overseas Fund, Ltd	N/A	7/1/2012	11/25/2013	59
Shepherd Investments International Ltd - Class S	N/A	7/1/2012	1/2/2013	824
Shepherd Investments International Ltd - Class S	N/A	7/1/2012	3/12/2013	1,284
Shepherd Investments International Ltd - Class S	N/A	7/1/2012	3/27/2013	228
Shepherd Investments International Ltd - Class S	N/A	7/1/2012	6/28/2013	1,681
Shepherd Investments International Ltd - Class S	N/A	7/1/2012	9/30/2013	106
Shepherd Investments International Ltd - Class S	N/A	7/1/2012	12/27/2013	501
Silverpoint Capital Offshore Fund, Ltd	N/A	7/1/2012	2/1/2013	53
Silverpoint Capital Offshore Fund, Ltd	N/A	7/1/2012	3/1/2013	188
Silverpoint Capital Offshore Fund, Ltd	N/A	7/1/2012	3/28/2013	71
Silverpoint Capital Offshore Fund, Ltd	N/A	7/1/2012	5/31/2013	9
Silverpoint Capital Offshore Fund, Ltd	N/A	7/1/2012	7/1/2013	1
Silverpoint Capital Offshore Fund, Ltd	N/A	7/1/2012	7/30/2013	69
Silverpoint Capital Offshore Fund, Ltd	N/A	7/1/2012	8/30/2013	178
Silverpoint Capital Offshore Fund, Ltd	N/A	7/1/2012	9/30/2013	9
Silverpoint Capital Offshore Fund, Ltd	N/A	7/1/2012	10/31/2013	323
The Drake Global Opportunities Fund, Ltd	N/A	7/1/2012	7/31/2013	44
The Drake Global Opportunities Fund, Ltd	N/A	7/1/2012	12/13/2013	21
Bennelong Asia Pacific Multi- Strategy Equity Fund, Ltd	N/A	7/1/2012	12/20/2013	1
Bennelong Asia Pacific Multi- Strategy Equity Fund, Ltd	N/A	7/1/2012	12/20/2013	6
King Street Capital Ltd	N/A	7/1/2012	4/2/2013	2

Your applicable percentage of loss is as follows: 0.00 %  
Your applicable percentage of gains is as follows: 0.90 %

**FORM 1065 - PARTNER'S SHARE OF INCOME, DEDUCTIONS, CREDITS, etc. - 2014**  
**SCHEDULE K-1 SUPPLEMENTAL INFORMATION**

<b>Partner's ID No.</b> 13-6090286	<b>Partnership's ID No.</b> 04-3514360
<b>Partner's name, address, and ZIP code</b> The J.M. Kaplan Fund, Inc. (3 YR) 261 Madison Ave New York, NY 10022	<b>Partnership's name, address, and ZIP code</b> Adamas Opportunities, L.P. The Pilot House @ Lewis Wharf Boston, MA 02110

**Supplemental information required to be reported separately to each partner:**

<b>PFIC Name</b>	<b>EIN Number</b>	<b>Date Acquired</b>	<b>Date Sold</b>	<b>Gain (Loss)</b>
King Street Capital Ltd	N/A	7/1/2012	7/9/2013	90
Longacre SPV I, Ltd	N/A	7/1/2012	4/16/2013	8
Longacre SPV I, Ltd	N/A	7/1/2012	9/20/2013	4
Longacre SPV IV, Ltd	N/A	7/1/2012	4/18/2013	53
Longacre SPV IV, Ltd	N/A	7/1/2012	9/20/2013	21
Magnetar Capital Fund, Ltd	N/A	7/1/2012	8/1/2013	110
Magnetar Capital Fund, Ltd	N/A	7/1/2012	12/30/2013	117
Shepherd Investments International Ltd - Class S	N/A	7/1/2012	1/2/2013	27
Shepherd Investments International Ltd - Class S	N/A	7/1/2012	3/12/2013	41
Shepherd Investments International Ltd - Class S	N/A	7/1/2012	3/27/2013	7
Shepherd Investments International Ltd - Class S	N/A	7/1/2012	6/28/2013	63
Shepherd Investments International Ltd - Class S	N/A	7/1/2012	9/30/2013	44
Shepherd Investments International Ltd - Class S	N/A	7/1/2012	12/27/2013	37
The Drake Low Volatility Fund, Ltd	N/A	11/1/2012	7/30/2013	5,508
The Drake Low Volatility Fund, Ltd	N/A	11/1/2012	10/7/2013	2,466
The Drake Low Volatility Fund, Ltd	N/A	11/1/2012	12/6/2013	507
Coast Diversified Fund, Ltd	N/A	12/31/2012	4/23/2013	472
Coast Diversified Fund, Ltd	N/A	12/31/2012	7/16/2013	252
Coast Diversified Fund, Ltd	N/A	12/31/2012	10/15/2013	534
Kylin Offshore Fund Ltd	N/A	4/1/2013	8/1/2013	193
Tao L Holdings, Ltd	N/A	4/1/2013	7/29/2013	4,691
Tao L Holdings, Ltd	N/A	4/1/2013	10/25/2013	7,328
King Street Capital Ltd	N/A	3/1/2013	7/9/2013	2,348
King Street Capital Ltd	N/A	3/1/2013	9/11/2013	1
Amaranth International , Ltd	N/A	2/1/2013	11/12/2013	210
Chilton New Era International (BVI) Ltd	N/A	2/1/2013	5/29/2013	214
QVT SLV Offshore, Ltd	N/A	2/1/2013	7/5/2013	25
QVT SLV Offshore, Ltd	N/A	2/1/2013	12/20/2013	26
QVT Special Investment Offshore Fund, Ltd	N/A	2/1/2013	5/1/2013	9
Treesdale Special Opportunities Fund, Ltd	N/A	2/1/2013	7/15/2013	38
Altima Global Special Situations Fund, Ltd	N/A	5/1/2013	10/10/2013	367
Altima Global Special Situations Fund, Ltd	N/A	5/1/2013	12/23/2013	334
Bennelong Asia Pacific Multi- Strategy Equity Fund, Ltd	N/A	5/1/2013	12/20/2013	5
The Drake Absolute Return Fund, Ltd	N/A	6/1/2013	7/31/2013	68
The Drake Absolute Return Fund, Ltd	N/A	6/1/2013	10/7/2013	22
The Drake Absolute Return Fund, Ltd	N/A	6/1/2013	10/7/2013	4
Fir Tree International Value Fund, Ltd	N/A	5/1/2013	8/1/2013	5
Fortress Value Recovery Fund I, Ltd	N/A	5/1/2013	6/28/2013	3
Fortress Value Recovery Fund I, Ltd	N/A	5/1/2013	9/26/2013	3
Fortress Value Recovery Fund I, Ltd	N/A	5/1/2013	12/17/2013	6
Greywolf Capital Overseas Fund, Ltd	N/A	5/1/2013	7/24/2013	3
Magnetar Capital Fund, Ltd	N/A	5/1/2013	8/1/2013	122
Magnetar Capital Fund, Ltd	N/A	5/1/2013	12/23/2013	83
Magnetar SPC	N/A	5/1/2013	8/1/2013	27
Magnetar SPC	N/A	5/1/2013	10/30/2013	26

Your applicable percentage of loss is as follows: 0.00 %  
Your applicable percentage of gains is as follows: 0.90 %

**FORM 1065 - PARTNER'S SHARE OF INCOME, DEDUCTIONS, CREDITS, etc. - 2014**  
**SCHEDULE K-1 SUPPLEMENTAL INFORMATION**

<b>Partner's ID No.</b> 13-6090286	<b>Partnership's ID No.</b> 04-3514360
<b>Partner's name, address, and ZIP code</b> The J.M. Kaplan Fund, Inc. (3 YR) 261 Madison Ave New York, NY 10022	<b>Partnership's name, address, and ZIP code</b> Adamas Opportunities, L.P. The Pilot House @ Lewis Wharf Boston, MA 02110
<b>Supplemental information required to be reported separately to each partner:</b>	

<u>PFIC Name</u>	<u>EIN Number</u>	<u>Date Acquired</u>	<u>Date Sold</u>	<u>Gain (Loss)</u>
Magnetar SPC	N/A	5/1/2013	12/27/2013	41
Perry Partners International Limited-Side Pocket	N/A	5/1/2013	7/15/2013	3
Perry Partners International Limited-Side Pocket	N/A	5/1/2013	8/15/2013	6
Perry Partners International Limited-Side Pocket	N/A	5/1/2013	9/13/2013	4
Perry Partners International Limited-Side Pocket	N/A	5/1/2013	10/15/2013	3
Perry Partners International Limited-Side Pocket	N/A	5/1/2013	12/13/2013	6
Wexford Spectrum Ltd	N/A	5/1/2013	9/27/2013	1
Wexford Spectrum Ltd	N/A	5/1/2013	12/16/2013	1
Tao L Holdings, Ltd	N/A	5/1/2013	7/29/2013	2,500
Tao L Holdings, Ltd	N/A	5/1/2013	10/25/2013	11,595
Amaranth International , Ltd	N/A	5/1/2012	11/12/2013	13
Amaranth International , Ltd	N/A	6/1/2012	11/12/2013	802
Amaranth International , Ltd	N/A	6/1/2012	11/12/2013	214
Cognis I	N/A	8/1/2012	3/7/2013	24
Deephaven	N/A	7/1/2012	2/5/2013	115
Sector Consolidare	N/A	12/22/2011	2/1/2013	964
Stylos Asia Fund Ltd	N/A	4/1/2013	8/9/2013	1,493
Dorchester SH2, Ltd	N/A	12/22/2011	1/1/2013	34
Dorchester SH2, Ltd	N/A	12/22/2011	2/1/2013	133
Dorchester SH2, Ltd	N/A	12/22/2011	5/1/2013	160
Dorchester SH2, Ltd	N/A	12/22/2011	6/1/2013	8
Dorchester SH2, Ltd	N/A	12/22/2011	7/1/2013	495
Dorchester SH2, Ltd	N/A	12/22/2011	9/1/2013	367
Dorchester SH2, Ltd	N/A	12/22/2011	12/31/2013	1,342
Partners Group Global Opportunities Limited	N/A	7/6/2011	2/7/2014	4,148
Partners Group Global Opportunities Limited	N/A	7/6/2011	5/9/2014	4,186
Partners Group Global Opportunities Limited	N/A	7/6/2011	8/5/2014	3,313
Partners Group Global Opportunities Limited	N/A	7/6/2011	11/6/2014	2,894

Additional information required to be reported on Part I of Form 8621.  
Beginning with distributions received in 2014.

Line 1. Common Stock  
Line 2. N/A  
Line 3. 6,445  
Line 4. 61,922

Your applicable percentage of loss is as follows: 0.00 %  
Your applicable percentage of gains is as follows: 0.90 %

Form **8865****Return of U.S. Persons With Respect to  
Certain Foreign Partnerships**

OMB No. 1545-1668

**2014**Department of the Treasury  
Internal Revenue Service

► Attach to your tax return.  
 ► Information about Form 8865 and its separate instructions is at [www.irs.gov/form8865](http://www.irs.gov/form8865).  
 Information furnished for the foreign partnership's tax year  
 beginning , 2014, and ending , 20

Attachment  
Sequence No. **118**

Name of person filing this return

Filer's identifying number

Filer's address (if you are not filing this form with your tax return)

**A** Category of filer (see **Categories of Filers** in the instructions and check applicable box(es)):1 ☐ 2 ☐ 3 ☐ 4 ☐**B** Filer's tax year beginning , 20 , and ending , 20**C** Filer's share of liabilities: Nonrecourse \$

Qualified nonrecourse financing \$

Other \$

**D** If filer is a member of a consolidated group but not the parent, enter the following information about the parent:

Name

EIN

Address

**E** Information about certain other partners (see instructions)

(1) Name	(2) Address	(3) Identifying number	(4) Check applicable box(es)		
			Category 1	Category 2	Constructive owner

**F1** Name and address of foreign partnership**2(a)** EIN (if any)

98-0373064

**2(b)** Reference ID number (see instr.)**3** Country under whose laws organized

BERMUDA

DOVER STREET V L.P.

CANON'S COURT 22 VICTORIA STREET

HAMILTON, HM 12 BERMUDA

4 Date of organization	5 Principal place of business	6 Principal business activity code number	7 Principal business activity	8a Functional currency	8b Exchange rate (see instr.)
MAY 19, 2002	BERMUDA	523900	INVESTMENTS	US DOLLARS	N/A

**G** Provide the following information for the foreign partnership's tax year:

<b>1</b> Name, address, and identifying number of agent (if any) in the United States  N/A	<b>2</b> Check if the foreign partnership must file: <input type="checkbox"/> Form 1042 <input type="checkbox"/> Form 8804 <input checked="" type="checkbox"/> Form 1065 or 1065-B Service Center where Form 1065 or 1065-B is filed:  E-FILE
	<b>4</b> Name and address of person(s) with custody of the books and records of the foreign partnership, and the location of such books and records, if different HARBOURVEST PARTNERS, LLC ONE FINANCIAL CENTER 44TH FLOOR BOSTON, MA 02111
<b>3</b> Name and address of foreign partnership's agent in country of organization, if any  N/A	

**5** Were any special allocations made by the foreign partnership? ☐ Yes ☒ No**6** Enter the number of Forms 8858, Information Return of U.S. Persons With Respect To Foreign Disregarded Entities, attached to this return (see instructions)**7** How is this partnership classified under the law of the country in which it is organized? ☐ LIMITED PARTNERSHIP**8a** Does the filer have an interest in the foreign partnership, or an interest indirectly through the foreign partnership, that is a separate unit under Reg. 1.1503(d)-1(b)(4) or part of a combined separate unit under Reg. 1.1503(d)-1(b)(4)(ii)? If "No," skip question 8b. ☐ Yes ☒ No**b** If "Yes," does the separate unit or combined separate unit have a dual consolidated loss as defined in Reg. 1.1503(d)-1(b)(5)(i)? ☐ Yes ☐ No**9** Does this partnership meet both of the following requirements?

• The partnership's total receipts for the tax year were less than \$250,000 and

• The value of the partnership's total assets at the end of the tax year was less than \$1 million.

If "Yes," do not complete Schedules L, M-1, and M-2. ☐ Yes ☒ NoSign Here  
Only If You  
Are Filing  
This Form  
Separately  
and Not With  
Your Tax  
Return.

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 general partner or limited liability company member) is based on all information of which preparer has any knowledge.

Signature of general partner or limited liability company member

Date

**Paid  
Preparer  
Use Only**

Print/Type preparer's name

Preparer's signature

Date

Check ☐ if  
self-employed

PTIN

Firm's name ►

Firm's EIN ►

Firm's address ►

Phone no.



**Schedule A**

**Constructive Ownership of Partnership Interest.** Check the boxes that apply to the filer. If you check box **b**, enter the name, address, and U.S. taxpayer identifying number (if any) of the person(s) whose interest you constructively own. See instructions.

**a** ☒ Owns a direct interest

**b** ☐ Owns a constructive interest

Name	Address	Identifying number (if any)	Check if foreign person	Check if direct partner

**Schedule A-1** Certain Partners of Foreign Partnership (see instructions)

Name	Address	Identifying number (if any)	Check if foreign person

Does the partnership have any other foreign person as a direct partner? ☒ Yes ☐ No

**Schedule A-2** Affiliation Schedule. List all partnerships (foreign or domestic) in which the foreign partnership owns a direct interest or indirectly owns a 10% interest.

Name	Address	EIN (if any)	Total ordinary income or loss	Check if foreign partnership
SEE STATEMENT 1				

**Schedule B** Income Statement—Trade or Business Income

**Caution.** Include only trade or business income and expenses on lines 1a through 22 below. See the instructions for more information.

<b>Income</b>	<b>1a</b> Gross receipts or sales	<b>1a</b>	
	<b>b</b> Less returns and allowances	<b>1b</b>	<b>1c</b>
	<b>2</b> Cost of goods sold		<b>2</b>
	Gross profit. Subtract line 2 from line 1c		<b>3</b>
	<b>4</b> Ordinary income (loss) from other partnerships, estates, and trusts (attach statement)		<b>4</b>
	<b>5</b> Net farm profit (loss) (attach Schedule F (Form 1040))		<b>5</b>
	<b>6</b> Net gain (loss) from Form 4797, Part II, line 17 (attach Form 4797)		<b>6</b>
	<b>7</b> Other income (loss) (attach statement)		<b>7</b>
<b>8</b> Total income (loss). Combine lines 3 through 7		<b>8</b>	
<b>Deductions</b> (see instructions for limitations)	<b>9</b> Salaries and wages (other than to partners) (less employment credits)		<b>9</b>
	<b>10</b> Guaranteed payments to partners		<b>10</b>
	<b>11</b> Repairs and maintenance		<b>11</b>
	<b>12</b> Bad debts		<b>12</b>
	<b>13</b> Rent		<b>13</b>
	<b>14</b> Taxes and licenses		<b>14</b>
	<b>15</b> Interest		<b>15</b>
	<b>16a</b> Depreciation (if required, attach Form 4562)	<b>16a</b>	
	<b>b</b> Less depreciation reported elsewhere on return	<b>16b</b>	<b>16c</b>
	<b>17</b> Depletion (Do not deduct oil and gas depletion.)		<b>17</b>
	<b>18</b> Retirement plans, etc.		<b>18</b>
	<b>19</b> Employee benefit programs		<b>19</b>
	<b>20</b> Other deductions (attach statement)		<b>20</b>
	<b>21</b> Total deductions. Add the amounts shown in the far right column for lines 9 through 20		<b>21</b>
<b>22</b> Ordinary business income (loss) from trade or business activities. Subtract line 21 from line 8		<b>22</b>	

**SCHEDULE O**  
**(Form 8865)**Department of the Treasury  
Internal Revenue Service**Transfer of Property to a Foreign Partnership**  
**(under section 6038B)**

▶ Attach to Form 8865. See Instructions for Form 8865.

▶ Information about Schedule O (Form 8865) and its separate instructions is at [www.irs.gov/form8865](http://www.irs.gov/form8865).

OMB No. 1545-1668

**2014**

Name of transferor		Filer's identifying number
Name of foreign partnership DOVER STREET V L.P.	EIN (if any) 98-0373064	Reference ID number (see instructions)

**Part I Transfers Reportable Under Section 6038B**

Type of property	(a) Date of transfer	(b) Number of items transferred	(c) Fair market value on date of transfer	(d) Cost or other basis	(e) Section 704(c) allocation method	(f) Gain recognized on transfer	(g) Percentage interest in partnership after transfer
Cash	VARIOUS		YOUR CONTRIBUTION				YOUR CONTRIBUTION %
Stock, notes receivable and payable, and other securities							
Inventory							
Tangible property used in trade or business							
Intangible property							
Other property							

Supplemental Information Required To Be Reported (see instructions):

**Part II Dispositions Reportable Under Section 6038B**

(a) Type of property	(b) Date of original transfer	(c) Date of disposition	(d) Manner of disposition	(e) Gain recognized by partnership	(f) Depreciation recapture recognized by partnership	(g) Gain allocated to partner	(h) Depreciation recapture allocated to partner

**Part III** Is any transfer reported on this schedule subject to gain recognition under section 904(f)(3) or section 904(f)(5)(F)?▶ ☐ Yes ☒ No

For Paperwork Reduction Act Notice, see the Instructions for Form 8865.

Schedule O (Form 8865) 2014

DOVER STREET V L.P.  
EIN: 98-0373064

FORM 8865  
SCHEDULE A-2 ATTACHMENT  
ALL PARTNERSHIPS IN WHICH DOVER STREET V LP OWNS (IN)DIRECTLY A 10% INTEREST

	Name	Address	EIN	Check if Foreign Partnership
1	MidOcean Partners, LP	320 Park Avenue, 16th Floor New York, NY 10022	43-1994399	X
2	Newbury Ventures Cayman III, L.P.	1200 Trinity Drive Menlo Park, CA 94025	52-2275933	X
3	Vitalife Partners (Overseas) L.P.	32B Harbarzel St. Ramat Hachayal Tel Aviv, 69710 Israel	98-0396803	X
4	Vitalife Partners Management L.P.	32B Harbarzel St. Ramat Hachayal Tel Aviv, 69710 Israel	98-0396800	X
5	Kinetic Ventures VI, LLC	2 Wisconsin Circle, Suite 620 Chevy Chase, MD 20815	52-2034801	
6	Omega SPV I, L.P.	1 Royal Plaza, Royal Avenue St.Peter Port, Guernsey GY1 2HL	98-0528428	X
7	Saints Capital IV, LP	2020 Union Street San Francisco, CA 94123	20-1159003	
8	Saints Capital V, LP	2020 Union Street San Francisco, CA 94123	42-1674419	
9	MSCP III 892 Investors, L.P.	440 S Lasalle Street, 39th Floor c/o Morgan Stanley Tax Chicago, IL 60605	13-3788895	
10	Citi Venture Opportunities Fund II, L.P.	441 S Lasalle Street, 39th Floor c/o Morgan Stanley Tax Chicago, IL 60605	13-4099090	

Dover Street V L.P.  
EIN: 98-0373064

PASSIVE FOREIGN INVESTMENT COMPANY ("PFIC") ANNUAL INTERMEDIARY STATEMENT

DOVER STREET V L.P. (THE PARTNERSHIP) HOLDS A DIRECT OR INDIRECT INTEREST IN THE PFICS LISTED BELOW. AS A FOREIGN PARTNERSHIP, THE PARTNERSHIP CANNOT MAKE THE VARIOUS ELECTIONS AVAILABLE TO SHAREHOLDERS OF A PFIC. THEREFORE, NO ELECTIONS HAVE BEEN MADE AND IT IS EACH PARTNER'S RESPONSIBILITY TO MAKE ANY NECESSARY QEF AND DEEMED SALE ELECTIONS.

AS A FOREIGN PARTNERSHIP, THE PARTNERSHIP CANNOT MAKE AN ELECTION UNDER TREAS. REG. 1.1411-10(G) WITH RESPECT TO THE PFICS LISTED BELOW. HOWEVER, BECAUSE THE PARTNERSHIP IS NOT ENGAGED IN A TRADE OR BUSINESS OF TRADING IN FINANCIAL INSTRUMENTS OR COMMODITIES AS DEFINED IN TREAS. REG. 1.1411-5(A)(2), ANY DIRECT OR INDIRECT PARTNERS THAT ARE DOMESTIC PERSONS, INCLUDING PASS-THROUGH ENTITIES, CAN MAKE THE ELECTION UNDER TREAS. REG. 1.1411-10(G). WHETHER SUCH ELECTION IS MADE WILL DETERMINE WHICH ITEMS ARE COMPONENTS OF NET INVESTMENT INCOME AS DEFINED IN TREAS. REG. 1.1411-4.

PLEASE BE ADVISED THAT THE QEF INCLUSIONS UNDER IRC SECTION 1293(A) FROM PFICS NOTED BELOW MAY BE COMPONENTS OF NET INVESTMENT INCOME AS DEFINED IN TREAS. REG. 1.1411-4 AND MAY BE SUBJECT TO NET INVESTMENT INCOME TAX PURSUANT TO IRC SECTION 1411 IF BOTH A QEF ELECTION AND AN ELECTION UNDER TREAS. REG. 1.1411-10(G) ARE IN EFFECT. TO THE EXTENT SUCH ELECTION IS NOT MADE, THE PORTION OF THE DISTRIBUTIONS MADE TO YOU ATTRIBUTABLE TO THE 2014 EARNINGS MAY BE COMPONENTS OF NET INVESTMENT INCOME AS DEFINED IN TREAS. REG. 1.411-4 AND MAY BE SUBJECT TO NET INVESTMENT INCOME TAX PURSUANT TO IRC SECTION 1411. PLEASE CONSULT YOUR TAX ADVISOR.

EACH ITEM BELOW REPRESENTS THE TOTAL AMOUNTS REPORTED TO THE PARTNERSHIP. FOR PURPOSES OF COMPLETING THE FORM 8621, EACH NUMBER BELOW SHOULD BE MULTIPLIED BY THE ENDING CAPITAL PERCENTAGE AS REPORTED ON PAGE 1 OF THIS SCHEDULE K-1.

YOUR 2014 SCHEDULE K-1 INCLUDES YOUR SHARE OF THE PFICS' ORDINARY INCOME AND CAPITAL GAINS, AS PRESENTED BELOW. PLEASE CONSULT YOUR TAX ADVISOR REGARDING THE APPROPRIATE TAX TREATMENT AND REPORTING.

INVESTMENT NAME	ORDINARY INCOME (USD)	NET CAPITAL GAINS (USD)	CASH DISTRIBUTIONS (USD)	DESCRIPTION OF EACH CLASS OF SHARES	DATE SHARES ACQUIRED DURING TAXABLE YEAR	NUMBER OF SHARES HELD AT END OF TAXABLE YEAR	VALUE OF SHARES HELD AT END OF TAXABLE YEAR
Dover V Ltd c/o HarbourVest Partners, LLC One Financial Center, 44th Floor Boston, MA 02111 EIN: N/A Tax Year: 01/01/2014 - 12/31/2014	nil	nil	nil	Common Stock	N/A	12,000	15,890,828
GeneGrants Ltd. Building 15, Matam - Adv. Tech. Center PO Box 15095 Haifa, 31905 Israel EIN: N/A Tax Year: 01/01/2014 - 12/31/2014	nil	nil	nil	Preferred Stock	N/A	638	nil
Quantanova (Singapore) PTE Limited 80 Robinson Road #02-00 Singapore 068898 EIN: N/A Tax Year: 01/01/2014 - 12/31/2014	nil	nil	nil	Common Stock	N/A	nil	nil
Blotie Therapies Corp (Fka: Elblon NV) Joukarsenkatu 6 FI-20520 Turku Finland EIN: N/A Tax Year: 01/01/2014 - 12/31/2014	1,853	nil	nil	Preferred Shares	N/A	nil	nil
Epigenomics AG Kleine Präsidentenstr. 1 10178 Berlin Germany EIN: N/A Tax Year: 01/01/2014 - 12/31/2014	nil	nil	nil	N/A	N/A	nil	nil

INVESTMENT NAME	ORDINARY INCOME (USD)	NET CAPITAL GAINS (USD)	CASH DISTRIBUTIONS (USD)	DESCRIPTION OF EACH CLASS OF SHARES	DATE SHARES ACQUIRED DURING TAXABLE YEAR	NUMBER OF SHARES HELD AT END OF TAXABLE YEAR	VALUE OF SHARES HELD AT END OF TAXABLE YEAR
<b>Palon AG</b> Martinsstrasse 10-12 52062 Aachen Germany EIN: N/A Tax Year: 01/01/2014 - 12/31/2014	nil	nil	nil	N/A	N/A	nil	nil
<b>Santaris Pharma A/S</b> Fremildvej 3 DK-2970 Hørsholm Denmark EIN: N/A Tax Year: 01/01/2014 - 12/31/2014	nil	nil	nil	Preferred Shares	N/A	nil	8,388
<b>NTC Holdings G.P. (Fka: Angel Lux Midco Sarl)</b> 1-3 Boulevard de la Foite L-1528, Luxembourg EIN: N/A Tax Year: 01/01/2014 - 12/31/2014	nil	nil	nil	Common Stock	N/A	8	nil
<b>Sithe Global Camaya Holdings, Inc.</b> 277 Park Avenue, 40th Fl New York, NY 10172 EIN: 98-0955682 Tax Year: 01/01/2014 - 12/31/2014	nil	nil	nil	Common Stock	N/A	3,927	4,736
<b>Sithe Global GNPD B.V.</b> 277 Park Avenue, 40th Fl New York, NY 10172 EIN: 98-1145810 Tax Year: 01/01/2014 - 12/31/2014	nil	nil	nil	Common Stock	N/A	nil	nil
<b>SKS Power Generation (Chattisgarh) Ltd.</b> 277 Park Avenue, 40th Fl New York, NY 10172 EIN: N/A Tax Year: 01/01/2014 - 12/31/2014	nil	nil	nil	Common Stock	N/A	636,792	124,834
<b>Abbeycross Limited</b> 277 Park Avenue, 40th Fl New York, NY 10172 EIN: 98-1124738 Tax Year: 01/01/2014 - 12/31/2014	nil	nil	nil	Common Stock	N/A	22,497	8,494
<b>SG Anailia Holdings Cooperatief U.A.</b> 277 Park Avenue, 40th Fl New York, NY 10172 EIN: 98-0605944 Tax Year: 01/01/2014 - 12/31/2014	nil	nil	nil	Common Stock	N/A	nil	96,235
<b>CEP III Investment 20 S.A.R.L.</b> 2, Ave Charles de Gaulle L-1653 Luxembourg EIN: N/A Tax Year: 01/01/2014 - 12/31/2014	1,232	nil	nil	Common Stock	N/A	nil	nil



INVESTMENT NAME	ORDINARY INCOME (USD)	NET CAPITAL GAINS (USD)	CASH DISTRIBUTIONS (USD)	DESCRIPTION OF EACH CLASS OF SHARES	DATE SHARES ACQUIRED DURING TAXABLE YEAR	NUMBER OF SHARES HELD AT END OF TAXABLE YEAR	VALUE OF SHARES HELD AT END OF TAXABLE YEAR
<b>Dome 2 0909 S.A.R.L.</b> 2, Ave Charles de Gaulle L-1653 Luxembourg EIN: N/A Tax Year: 01/01/2014 - 12/31/2014	3,752	nil	nil	Common Stock	N/A	nil	64,187
<b>Dome 4 0909 S.A.R.L.</b> 2, Ave Charles de Gaulle L-1653 Luxembourg EIN: N/A Tax Year: 01/01/2014 - 12/31/2014	1,825	nil	nil	Common Stock	N/A	nil	55,568
<b>CEP Dome 2</b> Information Available Upon Request EIN: N/A Tax Year: 01/01/2014 - 12/31/2014	nil	nil	nil	N/A	N/A	nil	nil

PLEASE NOTE THAT THE FOLLOWING COMPANIES WERE PFICS IN A PRIOR YEAR, BUT THEY ARE NOT QUALIFIED AS PFICS IN 2014:  
1. SITHE GLOBAL CANADIAN POWER SERVICES, LTD.

PLEASE NOTE THAT THE FOLLOWING COMPANIES WERE PFICS IN 2013, AND LIQUIDATED IN 2013:

1. CAN-FITE BIOPHARMA LTD.
2. STARTECH/CENTERPOINT HOLDINGS GMBH
3. ORSENSE LTD.

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>
COMMUNITY CAPITAL BANK-CD	250.	250.
TOTAL	<u>250.</u>	<u>250.</u>

ATTACHMENT 2FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
INTEREST ON MONEY MARKET FUNDS	202,498.	202,498.
INTEREST ON NOTES RECEIVABLE	51,251.	51,251.
INTEREST AND DIVIDENDS ON L.P.		2,628,546.
TOTAL	<u>253,749.</u>	<u>2,882,295.</u>

ATTACHMENT 3

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
OTHER PARTNERSHIP INCOME	11,109,493.	1,520,398.
LESS:AMOUNT ATTRIBUTABLE TO UBI LOSS		-178,568.
OTHER INCOME	167.	167.
PRI INCOME	2,600.	2,600.
RETURNED GRANTS	10,000.	
TAX REFUND		
TOTALS	11,122,260.	1,344,597.

ATTACHMENT 4

FORM 990PF, PART I - LEGAL 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>
PATTERSON BELKNAP WEBB AND TYL	32,088.			19,902.
TOTALS	<u>32,088.</u>			<u>19,902.</u>



ATTACHMENT 5

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>
CONDON O'MEARA MCGINTY & DONNELLY-AUDIT & TAX SERVICE	25,600.	15,360.		14,735.
TOTALS	<u>25,600.</u>	<u>15,360.</u>		<u>14,735.</u>

ATTACHMENT 6FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>CHARITABLE PURPOSES</u>
BRANDYWINE MANAGEMENT COMPANY - ADVISORY FEES	432,665.	432,665.	150.
BANK OF NEW YORK-CUSTODIAL FEE	200.	200.	150,230.
GRANT CONSULTANTS	141,941.		176,502.
SENIOR TRUSTEE CONSULTANTS	169,409.		18,390.
WEB SITE	18,140.		3,150.
PENSION CONSULTANT	3,100.		11,332.
COMPUTER CONSULTANTS	13,877.		4,668.
INTERNET SERVICE	4,677.		9,606.
CONSULTANTS	18,013.		
COLCHESTER MANAGEMENT FEE	40,768.	40,768.	
TOTALS	<u>842,790.</u>	<u>473,633.</u>	<u>374,028.</u>

ATTACHMENT 7

FORM 990PF, PART I - INTEREST EXPENSE

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
INTEREST EXPENSE THRU PARTNERS		598,562.
LESS:AMOUNT ALLOCATED TO UBI		-586,914.
TOTALS		<u>11,648.</u>

ATTACHMENT 8

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>CHARITABLE PURPOSES</u>
STATE TAXES ON U.B.I.	250.		
DEFERRED EXCISE TAXES	32,750.		
LESS:AMOUNT ALLOCATED TO UBI			
FEDERAL EXCISE TAXES	188,534.	64,995.	
FOREIGN WITHHOLDING-L.P.'S			
FEDERAL UBI TAX			
PAYROLL TAXES	42,885.	6,992.	35,893.
TOTALS	<u>264,419.</u>	<u>71,987.</u>	<u>35,893.</u>

ATTACHMENT 9

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
INSURANCE	22,619.	6,786.	36,976.
SUPPLIES	8,204.	2,461.	5,573.
REPAIRS AND MAINTENANCE	27,728.	8,318.	31,218.
FILING FEES	1,500.		1,500.
MISCELLANEOUS	108,056.	10,560.	59,607.
LIMITED PARTNERSHIP DEDUCTIONS		1,518,231.	
LESS:AMOUNT ALLOCATED TO UBI		-5,740.	
TELEPHONE	13,722.	4,117.	10,260.
TOTALS	181,829.	1,544,733.	145,134.



ATTACHMENT 10FORM 990PF, PART II - OTHER NOTES AND LOANS RECEIVABLE

BORROWER: AVANTI STRATEGIC LAND INVESTORS III

BEGINNING BALANCE DUE ..... 82,855.

ENDING BALANCE DUE ..... 81,779.ENDING FAIR MARKET VALUE ..... 81,779.

BORROWER: AVANTI STRATEGIC LAND INVESTORS IV

BEGINNING BALANCE DUE ..... 198,054.

ENDING BALANCE DUE ..... 165,545.ENDING FAIR MARKET VALUE ..... 165,545.TOTAL BEGINNING OTHER NOTES AND LOANS RECEIVABLE ..... 280,909.TOTAL ENDING BOOK - OTHER NOTES AND LOANS RECEIVABLE ..... 247,324.TOTAL ENDING FMV - OTHER NOTES AND LOANS RECEIVABLE ..... 247,324.

ATTACHMENT 11

FORM 990PF, PART II - PREPAID EXPENSES AND DEFERRED CHARGES

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
PREPAID EXPENSES	127,273.	127,273.
PREPAID FEDERAL EXCISE TAX		
TOTALS	<u>127,273.</u>	<u>127,273.</u>

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

<u>DESCRIPTION</u>	<u>ATTACHMENT 12</u>	
	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
PIMCO LOW DURATION FUND	7,125,293.	7,125,293.
US OBLIGATIONS TOTAL	<u>7,125,293.</u>	<u>7,125,293.</u>

ATTACHMENT 13

FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
SEE ATTACHED SCHEDULE	9,659,599.	9,659,599.
TOTALS	<u>9,659,599.</u>	<u>9,659,599.</u>

**The J.M. Kaplan Fund, Inc.**  
**Investments- Corporate Stock**  
**990PF- Part II Line 10B**  
**EIN : 13-6090286**

	Cost Value	Market Value
Sun Capital	\$1,867,861	\$768,603
Brookside Cayman	\$144,478	\$768,527
Special Opportunities Fund	\$1,123,879	\$1,637,502
Dover Street VI	\$554,200	\$1,127,823
Spindrift A Class Series 1	\$0	\$239,838
Asia Capital Debt Investors	\$727,479	\$2,066,190
Asia Capital Tax Exempt Investors	\$1,059,280	\$3,051,116
	<u>\$ 5,477,177</u>	<u>\$ 9,659,599</u>



ATTACHMENT 14

FORM 990PF, PART II - CORPORATE BONDS

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
PHILADELPHIA FIN.- AVENTI VI	1,717,207.	1,717,207.
TOTALS	<u>1,717,207.</u>	<u>1,717,207.</u>

ATTACHMENT 15

FORM 990PF, PART II - OTHER INVESTMENTS

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
EQUITY IN LIMITED PARTNERSHIPS	115,510,411.	115,510,411.
PROGRAM RELATED INVESTMENTS	260,000.	260,000.
TOTALS	<u>115,770,411.</u>	<u>115,770,411.</u>

FORM 990PF, PART II - OTHER ASSETS

ATTACHMENT 16		
DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
ART WORK	57,500.	57,500.
TOTALS	57,500.	57,500.

ATTACHMENT 17FORM 990PF, PART II - OTHER LIABILITIES

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>
DEFERRED TAXES	82,750.
TAXES PAYABLE	19,992.
TOTALS	<u>102,742.</u>

ATTACHMENT 18FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCESDESCRIPTIONAMOUNT

UNREALIZED LOSS FROM INVESTMENTS &amp; L.P.

8,537,845.

TOTAL

8,537,845.

**The J.M. Kaplan Fund, Inc.**  
**EIn: 13-6090286**  
**Attachment to the 2014 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

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- (1) Grantee: Saint-Gaudens Memorial**  
**34 South Highland Avenue**  
**Ossining, NY 10562**
- (2) Amount and Date Paid: \$15,000 paid on May 2, 2014**
- (3) Total paid: \$15,000**
- (4) Purpose of Grant: To support exhibitions and concert series at the Memorial.**
- (5) Amount of Grant Spent by Grantee: \$15,000**
- (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 2015**
- (8) The J.M. Kaplan Fund, Inc. reviewed the grant report in March of 2015 but did 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**  
**Attachment to the 2014 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

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- (1) Grantee:   The Walters Art Museum**  
**600 North Charles Street**  
**Baltimore, MD 21201**
- (2) Amount and Date Paid: \$25,000 paid on November 12, 2014**
- (3) Total paid: \$25,000**
- (4) Purpose of Grant:       For the ongoing support of The Walters Art Museum.**
- (5) Amount of Grant Spent by Grantee: \$25,000**
- (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: September 2015**
- (8) The J.M. Kaplan Fund, Inc. reviewed the grant report in September of 2015 but did 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**  
**Attachment to the 2014 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

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- (1) Grantee:** PennPraxis  
University of Pennsylvania  
School of Design  
409 Duhring Wing  
Philadelphia, PA 19104
- (2) Amount and Date Paid:** \$80,000 paid on December 8, 2014
- (3) Total paid:** \$80,000
- (4) Purpose of Grant:** For the development of a methodology to document and preserve large-scale industrial and environmental landscapes.
- (5) Amount of Grant Spent by Grantee:** \$80,000
- (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:** Due in December 2015
- (8) The J.M. Kaplan Fund, Inc. will review 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 (c) ).**

**The J.M. Kaplan Fund, Inc.**  
**Ein: 13-6090286**  
**Attachment to the 2014 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

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- (1) Grantee:** INSTAP Study Center for East Crete  
2133 Arch Street  
Mulberry Atrium, Suite 300  
Philadelphia, PA 19103
- (2) Amount and Date Paid:** \$50,000 paid on May 15, 2014
- (3) Total paid:** \$50,000
- (4) Purpose of Grant:** For the support of the work, “Changing the Paradigm: Model Management Plans and Conservation Training in Greece”.
- (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:** May 2015.
- (8) The J.M. Kaplan Fund, Inc. reviewed the grant report in May of 2015, 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**  
**Attachment to the 2014 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

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- (1) Grantee:** INSTAP Study Center for East Crete  
2133 Arch Street  
Mulberry Atrium, Suite 300  
Philadelphia, PA 19103
- (2) Amount and Date Paid:** \$50,000 paid on October 22, 2014
- (3) Total paid:** \$50,000
- (4) Purpose of Grant:** For the support of the work, "Site Conservation and Mosaic Conservation Seminars for In Situ Cultural Heritage".
- (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:** September 2015.
- (8) The J.M. Kaplan Fund, Inc. reviewed the grant report in September of 2015, 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**  
**Attachment to the 2014 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

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- (1) Grantee: INSTAP Study Center for East Crete  
2133 Arch Street  
Mulberry Atrium, Suite 300  
Philadelphia, PA 19103**
- (2) Amount and Date Paid: \$40,000 paid on October 14, 2014**
- (3) Total paid: \$40,000**
- (4) Purpose of Grant: For the support of the work, "Land Acquisition and Protection for the Bronze Age Palace at Ayios Vasileios, Greece".**
- (5) Amount of Grant Spent by Grantee: \$40,000**
- (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: Due in November 2015.**
- (8) The J.M. Kaplan Fund, Inc. will review the grant report in November of 2015, 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**  
**Attachment to the 2014 Form 990PF**  
**Statement Required by Reg. 53.4945-5(d)**

**Information with Respect to Expenditure Responsibility Grants**

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- (1) Grantee: INSTAP Study Center for East Crete**  
**2133 Arch Street**  
**Mulberry Atrium, Suite 300**  
**Philadelphia, PA 19103**
- (2) Amount and Date Paid: \$100,000 paid on October 22, 2014**
- (3) Total paid: \$100,000**
- (4) Purpose of Grant: For the support of the work, "Conservation Capacity Building and Master Plan Training in Greece".**
- (5) Amount of Grant Spent by Grantee: \$100,000**
- (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: Due in November 2015.**
- (8) The J.M. Kaplan Fund, Inc. will review the grant report in November of 2015, 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.**  
**For the year ended**  
**December 31, 2014**

<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				
Joan Davidson, Trustee	3-5	None	None	5,000
Elizabeth K. Fonseca, Trustee	3-5	None	None	5,000
Mary E. Kaplan, Trustee	3-5	None	None	5,000
Richard D. Kaplan, Trustee	3-5	None	None	5,000
J. Matthew Davidson, Trustee	3-5	None	None	7,000
Brad Davidson, Trustee	3-5	None	None	7,000
Elizabeth Davidson Pickering, Trustee	3-5	None	None	8,000
Peter Davidson, Trustee	3-5	None	None	8,000
Caio Fonseca, Trustee	3-5	None	None	8,000
Isabel Fonseca, Trustee	3-5	None	None	8,000
Quina Fonseca, Trustee	3-5	None	None	8,000
Amy Freitag, Secretary	40	\$44,539	None	188,520
		<u>\$ 44,539</u>	<u>\$ -0-</u>	<u>\$262,520</u>

990PF, PART VIII - COMPENSATION OF THE FIVE HIGHEST PAID EMPLOYEESATTACHMENT 19

<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>
WILLIAM FALAHEE	CONTROLLER 40.00	122,002.	54,414.
ANGELA CARABINE	GRANTS MANAGER 40.00	95,806.	44,322.
KEN LUSTBADER	PROGRAM OFFICER 35.00	57,938.	8,836.
SUZETTE MASTERS	PROGRAM OFFICER 35.00	65,663.	10,106.
ANN BIRCKMAYER	OFFICE ASSISTANT 35.00	59,526.	9,430.
	TOTAL COMPENSATION	<u>400,935.</u>	<u>127,108.</u>

990PF, PART VIII- COMPENSATION OF THE FIVE HIGHEST PAID PROFESSIONALSATTACHMENT 20

<u>NAME AND ADDRESS</u>	<u>TYPE OF SERVICE</u>	<u>COMPENSATION</u>
BRANDYWINE MANAGEMENT CO. 880 THIRD AVENUE NEW YORK, NY	INVESTMENT SERVICES	432,665.
	TOTAL COMPENSATION	<u>432,665.</u>

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ATTACHMENT 21

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FORM 990PF, PART XV - INFORMATION REGARDING FOUNDATION MANAGERS

JACOB M KAPLAN- DECEASED  
HENRY C KAPLAN- DECEASED

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 22

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

SEE STATEMENT ATTACHED  
ED

NONE  
PC

SEE SCHEDULE ATTACHED

6,060,140.

TOTAL CONTRIBUTIONS PAID

6,060,140.

The J.M. Kaplan Fund, Inc.  
List of Paid Grants  
December 31, 2014  
Ein: 13-6090286

Program Grants Organization	Status	Amount	Description
Bronx River Alliance One Bronx River Parkway Bronx, NY 10462	PC	\$25,000.00	Bronx River Right-of-Way: Reclaiming Cass Gilbert's Westchester Avenue Station for the Industrial Waterfront
Children's Health Fund 215 West 125th Street Suite 301 New York, NY 10027	PC	\$100,000.00	Emergency Funding to support Terra Firma, a holistic program of mental health, medical and legal services in the South Bronx dedicated to unaccompanied immigrant youth
CyArk 2201 Broadway Suite 602 Oakland, CA 94612	PC	\$13,000.00	Digital Preservation of the 19th century Marcus Garvey Watchtower in NYC
Fund for the City of New York 121 Avenue of the Americas (@ Broome Street) New York, NY 10013-1590	PC	\$50,000.00	Reimagining Lower Manhattan
International Network for Public Schools 50 Broadway Suite 2200 New York, NY 10004	PC	\$100,000.00	Emergency Funding to support NYC schools based approach to lintergrating unaccompanied minor children from Central America
Mayor's Fund to Advance New York City 253 Broadway 8th Floor New York, NY 10007	PC	\$150,000.00	Immigrant Intergration Fellowship Program
Natural Resources Defense Council, Inc. 40 West 20th Street New York, NY 10011	PC	\$25,000.00	To support advocacy efforts for protection of the historic Palisades threatened by the construction of LG corporate headquarters in Englewood Cliffs, NJ
New Yorkers for Parks The Arthur Ross Center for Parks and Open Spaces 55 Broad Street 23rd Floor New York, NY 10004	PC	\$50,000.00	Park Equity Campaign - A public advocacy campaign to increase NYC parks operating budget, increased outreach and grass-roots organizing, and a focused effort to develop an alternative "conservancy" model for low income communities.
The Horticultural Society of New York 148 West 37th Street 13th Floor New York, NY 10018	PC	\$25,000.00	Neighborhood Plaza Partnership
The Museum of the City of New York 1220 Fifth Avenue New York, NY 10029-5287	PC	\$50,000.00	Saving Place: Fifty Years of New York City's Landmarks

Union of Concerned Scientists Two Brattle Square Cambridge, MA 02138	PC	\$30,000.00	Deploying Climate Science To Develop Strategies To Protect Cultural Heritage National Convening
Coalition for Humane Immigrant Rights of Los Angeles 2533 W. 3rd Street Suite 101 Los Angeles, CA 90057	PC	\$40,000.00	To fund the National Immigrant Conference 2014 in Los Angeles, December 14-16
Global Detroit 4444 2nd Avenue Detroit, MI 48201	PC	\$40,000.00	Planning Grant for Midwest Immigrant-Driven Revitalization Network (Development of regional "Global Great Lakes" network)
HIAS 333 Seventh Avenue New York, NY 10001	PC	\$50,000.00	The Linking Communities Project: Creating Welcome for Refugees
Migration Policy Institute 1400 16th Street, NW Suite 300 Washington, DC 20036- 2257	PC	\$75,000.00	Project Support for the National Center on Immigrant Integration Policy
National Immigration Law Center 3435 Wilshire Boulevard Suite 2850 Los Angeles, CA 90010	PC	\$65,000.00	General Operating Support
National Partnership for New Americans 1818 South Paulina Street Chicago, IL 60608	PC	\$140,000.00	\$100,000 to support program activities in three states; \$40,000 for General Support
Pro Bono Net 151 West 30th Street 10th Floor New York, NY 10001	PC	\$50,000.00	Project Support for Immigrants Advocate Network
Public Interest Projects 45 West 36th Street, 6th Floor New York, NY 10018	PC	\$100,000.00	Project Support for the Four Freedoms Fund Donor Collaborative and United We Dream
Upwardly Global 582 Market Street Suite 1207 San Francisco, CA 94104	PC	\$50,000.00	General Operating Support
Welcoming America 250 East Ponce de Leon Avenue Suite 320 Decatur, GA 30030	PC	\$135,000.00	General Operating Support
Westchester Community College Foundation Hartford Hall 75 Grasslands Road Valhalla, NY 10595	PC	\$100,000.00	Project Support for Community College Consortium for Immigrationeducation (CCCIE)



World Education Services 1 Battery Park Plaza New York, NY 10004	PC	\$135,000.00	Project Support for IMPRINT, the high skilled immigrant integration coalition
American School of Classical Studies at Athens 6-8 Charlton Street Princeton, NJ 08540	PC	\$100,000.00	Master Plan for Ancient Corinth, Greece
American School of Classical Studies at Athens 6-8 Charlton Street Princeton, NJ 08540	PC	\$20,500.00	Best Practices Conservation Management Planning: A Three-Day Workshop to Develop a Model Master Plan at Ancient Corinth
Council of American Overseas Research Centers PO Box 37012 MRC-178 Washington, DC 20013-7012	PC	\$100,000.00	Reactive Response Preservation Initiative for Cultural Resources in the Mediterranean Basin
Global Heritage Fund 625 Emerson Street Suite 200 Palo Alto, CA 94301	PC	\$50,000.00	Phase 2 - Conservation at Gobekli Tepe, Turkey
INSTAP Study Center for East Crete 2133 Arch Street Mulberry Atrium, Suite 300 Philadelphia, PA 19103	PC	\$50,000.00	Site Conservation and Mosaic Conservation Seminars for In Situ Cultural Heritage
INSTAP Study Center for East Crete 2133 Arch Street Mulberry Atrium, Suite 300 Philadelphia, PA 19103	PC	\$40,000.00	Land Acquisition and Protection of Haghios Vassileios, Sparta, GREECE
INSTAP Study Center for East Crete 2133 Arch Street Mulberry Atrium, Suite 300 Philadelphia, PA 19103	PC	\$100,000.00	Master Plan, Site Preservation and Conservation Training renewed support
INSTAP Study Center for East Crete 2133 Arch Street Mulberry Atrium, Suite 300 Philadelphia, PA 19103	PC	\$50,000.00	Changing the Paradigm: Model Management Plans and Conservation Training in Greece
Michigan Technological University Lakeshore Center, 3rd Floor 1400 Townsend Drive Houghton, MI 49931- 1295	PC	\$25,000.00	To Create the First-Ever Comprehensive Nationwide Inventory of Industrial Heritage Resources
New York University New York, NY 10012	PC	\$35,000.00	Pilot Project Combining Innovative Excavation and Conservation of an Iron Age Site at Kinok Hoyuk, Turkey
Smithsonian Institution	PC	\$28,000.00	"Emergency Methods for Packing and Crating Collections: A Training Workshop for Syrian Participants"

The Alexandria Archive Institute 125 El Verano Way San Francisco, CA 94127	PC	\$30,000.00	Conservation Data Management To Promote Good Practice
University of Cincinnati Foundation PO Box 19970 Cincinnati, OH 45219-0970	PC	\$100,000.00	Saving the Palace of Nestor at Pylos, Greece through Wall and Paint Conservation
University of Delaware Newark, DE 19716	PC	\$25,000.00	Cultural Heritage Disaster Preparedness and Emergency Response for Iraq
Penn Praxis 409 Duhring Wing School of Design Philadelphia, PA	SO I	\$37,500.00	Kaplan Fellowship for Certification in the Conservation & Management of Archaeological sites for Turkish Nationals.
German Archaeological Institute Inonu Caddes, 10 34437 Istanbul Turkey	PC	\$50,000.00	Conservation of Three Terraced Hellenistic Gymnasium at Pegamon
Global Heritage Fund 625 Emerson Street Suite 200 Palo Alto, CA 94301	PC	\$40,000.00	Conservation of the Worlds First Temple at Gobekli Tepe
New York University New York, NY 10012	PC	\$50,000.00	Anastylosis of the Propylon of the Sebasteion at Aphrodisias
Stanford University 326 Galves Street Stanford, CA 94086	PC	\$50,000.00	First Ever Comprehensive Partnership and Training Program at Catalhoyuk, Turkey
Istanbul Kultur University Istanbul Turkey	PC	\$23,000.00	Second Conservation Training Seminar for Turkish site managers.
University of Pennsylvania Philadelphia, PA 19104	PC	\$50,000.00	Conservation of Monumental City Gate at Gordion
Italian Archaeological Mission Italian Kazi Heyeti Menderes Caddesi 23 Turkey	PC	\$50,000.00	Conservation of the Sanctuary of St. Philip the Apostle, Hierapolis, Turkey
University of Toronto 100 St. George Street Toronto, Canada	PC	\$40,000.00	Conservation and Interpretation of Bronze and Iron Age Architecture
<b>2nd Generation Grants</b>			

ACE Programs for the Homeless 598 Broadway 7th Floor New York, NY 10012	PC	\$5,000.00	General Support
ACE Programs for the Homeless 598 Broadway 7th Floor New York, NY 10012	PC	\$10,000.00	General Support
American-Scottish Foundation Scotland House 575 Madison Avenue 10th Floor New York, NY 10022-2511	PC	\$10,000.00	General Support
Ann Norton Sculpture Gardens 253 Barcelona Road West Palm Beach, FL 33401	PC	\$10,000.00	The Garden Conservancy
Aston Magna Foundation for Music and the Humanities P.O. Box 28 Great Barrington, MA 01230	PC	\$2,000.00	General Support
Beth Israel Medical Center First Avenue @ 16th Street New York, NY 10003	PC	\$20,000.00	The Martin M. Feuer MD Education Fund #PT45604029
Beth Israel Medical Center First Avenue @ 16th Street New York, NY 10003	PC	\$10,000.00	The Martin M. Feuer MD Education Fund
Bristol Hospital Development Foundation Brewster Road Bristol, CT 06010	PC	\$10,000.00	Development and educational training program for physician assistants (PA) and ICU nurses in perioperative care and skills
Coudert Institute 163 Seminole Avenue Palm Beach, FL 33480	PC	\$15,000.00	General Support
Earth Vision Trust 2334 Broadway Street Unit D Boulder, CO 80302	PC	\$20,000.00	General Support
Gentlemen of the Gardens 400 North Congress Avenue Suite 100 West Palm Beach, FL 33401	PC	\$10,000.00	General Support
Gold Coast Arts Center 113 Middle Neck Road Great Neck, NY 11021	PC	\$10,000.00	General Support

Hope for Depression Research Foundation 667 Madison Avenue 17th Floor New York, NY 10065	PC	\$10,000.00	General Support
Hope for Depression Research Foundation 667 Madison Avenue 17th Floor New York, NY 10065	PC	\$10,000.00	General Support
Hopital Albert Schweitzer Haiti P.O. Box 81046 Pittsburgh, PA 15217	PC	\$5,000.00	General Support
Mary Obolensky Underwood Foundation 1400 Alabama Avenue Suite 9 West Palm Beach, FL 33401	PC	\$5,000.00	General Support
Museum of Arts and Design 2 Columbus Circle New York, NY 10019	PC	\$10,000.00	General Support
National Monuments Foundation Historic Mims Park 395 17th Street NW Atlanta, GA 30363	PC	\$20,000.00	Here We Grow - Historic Mims Park Urban Farm
New York Stem Cell Foundation 1995 Broadway Suite 600 New York, NY 10023	PC	\$10,000.00	General Support
Susan Smith Blackburn Prize 3239 Avalon Place Houston, TX 77019	PC	\$1,000.00	General Support
The American Ireland Fund 211 Congress Street 10th Floor Boston, MA 02110	PC	\$5,000.00	Cill Rialaig's American Artists Program
The Culture Project 49 Bleecker Street Suite 404 New York, NY 10012	PC	\$10,000.00	General Support
The English Speaking Union 144 East 39th Street New York, NY 10016	PC	\$10,000.00	General Support
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$10,500.00	Artist Fund: Alexander Beridze, Concert Pianist - Alexander Beridze, founder and artistic director of the New York Piano Festival, maintains an active schedule as both a performer and teacher. The funding will support the CD recording to be released after

The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$10,500.00	Artist Fund: Caroline Seebohm, Writer - For the book, Rescued Gardens. The funding will allow for research and travel for this book on American gardens rescued from demolition abandonment development, etc. and turned into public spaces.
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$5,600.00	Artists Fund: Luc Petre - Renewed support for "Luc Petre's Musical Salon" - Hosting musical salons primarily in his residence. Each performance features one or two renowned professional musician (s) with one or two high level student(s).
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$10,600.00	Artists Fund: Bruce Helander - For Artist at Home Book Project. The funding will allow for research and photography on his book taking people inside the homes and studios of some of the important artists he works with, including Hunt Slonem and Chihuly.
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$10,600.00	Artists Fund: Amelia Zirin Brown - Lady Rizo is an American comedienne and chanteuse. The funding will allow her to return to the 2014 Edinburgh and perform with musicians and assist with travel costs.
The Royal Oak Foundation 35 West 35th Street Suite 1201 New York, NY 10001	PC	\$10,000.00	General Support
The Skyscraper Museum 39 Battery Place New York, NY 10280	PC	\$5,000.00	General Support
The Society of the Four Arts 2 Four Arts Plaza Palm Beach, FL 33480	PC	\$10,000.00	General Support
Thomas Cole National Historic Site P.O. Box 426 Catskill, NY 12414	PC	\$5,000.00	General Support
Triskeles Foundation 707 Eagleview Boulevard Suite 105 Exton, PA 19341-1159	PC	\$10,000.00	8 Ways to Wellbeing, a PBS documentary and multimedia program on Lifestyle Enhancement of Mental Health and project of Triskeles Foundation.
urbanStages 555 Eighth Avenue Suite 1800 New York, NY 10018	PC	\$15,000.00	General Support
Westminster College 501 Westminster Avenue at Westminster College Fulton, MO 65251	PC	\$20,000.00	For curatorial expenses - The Painting of Winston Churchill Exhibition
American Community Enrichment 150 Technology Way Suite 106 PO Box 3 Elma, WA 98541	PC	\$100,000.00	General Support

Essential Information P.O. Box 19405 1530 P Street, NW (20005) Washington, DC 20036	PC	\$12,500.00	General Support
Essential Information P.O. Box 19405 1530 P Street, NW (20005) Washington, DC 20036	PC	\$25,000.00	General Support
Essential Information P.O. Box 19405 1530 P Street, NW (20005) Washington, DC 20036	PC	\$175,000.00	General Support
Foundation for Sustainability and Peacemaking in Mesoamerica 1501 Lisa Rae Drive Round Rock, TX 78665	PC	\$30,000.00	General Support
Free Africa Foundation 910 17th Street, NW, Suite 419 Washington, DC 20006	PC	\$25,000.00	General Support
N.Y.C. CLEAN AIR CAMPAIGN 307 Seventh Avenue Suite 606 New York, NY 10001	PC	\$50,000.00	General Support
Project Renewal 200 Varick Street New York, NY 10014	PC	\$10,000.00	General Support
Public Citizen 1600 20th Street NW Washington, DC 20010	PC	\$12,500.00	General Support
Public Citizen 1600 20th Street NW Washington, DC 20010	PC	\$25,000.00	General Support
Public Citizen 1600 20th Street NW Washington, DC 20010	PC	\$150,000.00	General Support
Adirondack Museum PO Box 99 Blue Mountain Lake, NY 12812-0099	PC	\$5,000.00	General Support
Adirondack Wild: Friends of the Forest Preserve P.O. Box 9247 Niskayuna, NY 12309	PC	\$5,000.00	General Support

Alliance for Justice 11 Dupont Circle NW 2nd Floor Washington, DC 20036-1206	PC	\$5,000.00	General Support
American Civil Liberties Union Foundation 125 Broad Street, 18th Floor New York, NY 10004-2400	PC	\$5,000.00	General Support
American Composers Orchestra 244 West 54th Street Suite 805 New York, NY 10019	PC	\$2,500.00	General Support
American Farmland Trust 1200 18th Street, NW Suite 800 Washington, DC 20036	PC	\$2,500.00	General Support
American Fund for Charities 1000 N West Street Suite 1200 Wilmington, DE 19801	PC	\$4,500.00	For the book, "Max Weber, Paris and London: the cross-cultural influence of a Russian-American emigree artist in Europe"
Bard College Annandale-on-Hudson, NY 12504	PC	\$5,000.00	For the book, "Franz Schubert and His World"
Bowdoin College 5600 College Station Brunswick, ME 04011	PC	\$3,000.00	For the book, "Richard Tuttle Prints: A Retrospective"
Brandeis University	PC	\$3,000.00	For the book, "The Archaeology of Sanitation in Roman Italy: Toilet, Sewers, and Water Systems"
Brennan Center for Justice 161 Avenue of the Americas, 12th Floor New York, NY 10013	PC	\$2,500.00	General Support
Brooklyn Academy of Music 30 Lafayette Avenue Brooklyn, NY 11217-1486	PC	\$5,000.00	General Support
Brooklyn Botanic Garden 1000 Washington Avenue Brooklyn, NY 11225	PC	\$2,500.00	General Support
Brooklyn Botanic Garden 1000 Washington Avenue Brooklyn, NY 11225	PC	\$2,500.00	General Support



Bryn Mawr College 101 N. Merion Avenue Bryn Mawr, PA 19010-2859	PC	\$5,000.00	For the book, "Houses for a New World: Builders and Buyers in American Suburbs 1945-1965"
Catskill Mountainkeeper PO Box 381 Youngsville, NY 12758	PC	\$2,500.00	General Support
Center for Architecture Foundation 536 LaGuardia Place New York, NY 10012	PC	\$3,000.00	For the book, "Double Take: Touring New York City's Subway Art"
Century Association Archives Foundation 7 West 43rd Street New York, NY 10036	PC	\$1,000.00	General Support
City Club of New York 249 West 34th Street New York, NY 10001	PC	\$5,000.00	General Support for its South Street Seaport efforts
Civitas 1457 Lexington Avenue New York, NY 10128	PC	\$2,500.00	General Support
Columbia County Historical Society, Inc. 5 Albany Avenue P.O. Box 311 Kinderhook, NY 12106	PC	\$5,000.00	General Support
Columbia-Greene Hospital Foundation 71 Prospect Avenue Hudson, NY 12534	PC	\$2,500.00	General Support
Eleanor Roosevelt Leadership Center at Val-Kill P.O. Box 255 Hyde Park, NY 12538	PC	\$5,000.00	General Support - 2013 Eleanor Roosevelt Val-Kill Medal Ceremony
Four Nations Ensemble P.O. Box 1112 Hudson, NY 12534	PC	\$5,000.00	General Support
Frazier History Museum 829 West Main Street Louisville, KY 40202	PC	\$5,000.00	For the book, "Kentucky by Design: Material Culture, Regionalism, and the New Deal"
Friends of Clermont 87 Clermont Avenue Germantown, NY 12526	PC	\$5,000.00	For the book, "Paintings, Sculpture and Decorative Arts at Clermont"

Friends of Clermont 87 Clermont Avenue Germantown, NY 12526	PC	\$2,500.00	General Support
Friends of Historic Kingston PO Box 3763 63 Main Street Kingston, NY 12402-3763	PC	\$3,500.00	For the book, "Kingston - The IBM Years"
Friends of the Upper East Side Historic Districts 966 Lexington Avenue, 3E New York, NY 10021	PC	\$2,500.00	General Support
Friends of Vancouver Art Gallery 750 Hornby Street Vancouver, BC V6Z 2H7 CANADA	PC	\$6,000.00	For the book, "Geoffrey Farmer: The Surgeon and the Photographer"
Frist Center for the Visual Arts 919 Broadway Nashville, TN 37203	PC	\$5,000.00	For the book, "Sanctity Pictured: The Art of the Dominican and Franciscan Orders in Renaissance Italy"
Glynwood P.O. Box 157 Cold Spring, NY 10516	PC	\$2,500.00	General Support
Greenwich Village Society for Historic Preservation 232 East 11th Street New York, NY 10003	PC	\$2,500.00	General Support
Historic Districts Council, Inc. 232 East 11th Street New York, NY 10003-7301	PC	\$2,500.00	General Support
Historic Hudson, Inc. 552 Warren Street Hudson, NY 12534	PC	\$2,500.00	General Support
Hudson Highlands Land Trust P.O. Box 226 Garrison, NY 10524	PC	\$2,500.00	General Support
Hudson Opera House 327 Warren Street Hudson, NY 12534-2413	PC	\$15,000.00	General Support
Hudson River Sloop Clearwater, Inc. 724 Wolcott Avenue Beacon, NY 12508	PC	\$5,000.00	General Support

Hudson Valley Chamber Music Circle The Bard Center P.O. Box 17 Annandale-on-Hudson, NY 12514	PC	\$2,500.00	General Support
Hudsonia Limited P.O. Box 5000 Annandale, NY 12504-5000	PC	\$2,500.00	General Support
Johns Hopkins University Baltimore, MD 21218	PC	\$4,500.00	For the book, "The Philadelphia Country House: Architecture & Landscape in Colonial America"
Land Trust Alliance, Inc. 1660 L Street NW Suite 1100 Washington, DC 20036	PC	\$2,500.00	General Support
Landmark West! 45 West 67th Street New York, NY 10023	PC	\$2,500.00	General Support
MASS MoCA 1040 MASS MoCA Way North Adams, MA 01247	PC	\$5,000.00	For the book, "Teresita Fernandez: As Above So Below"
Merchant's House Museum 29 East Fourth Street New York, NY 10003-7003	PC	\$2,500.00	General Support
Museum of Biblical Art 1865 Broadway New York, NY 10023	PC	\$5,000.00	For the book, "Donatello to Della Robbia: Treasures of Renaissance Florence from the Museo dell'Opera di Santa Maria del Fiore"
Musica Sacra PO Box 974 Lenox Hill Station New York, NY 10021	PC	\$2,500.00	General Support
n+1 Foundation 68 Jay Street #405 Brooklyn, NY 11201	PC	\$3,500.00	For the book, "City by City: How Americans Actually Live"
National Institute of Social Sciences PO Box 286774 New York, NY 10128	PC	\$2,000.00	General Support
National Wildlife Federation	PC	\$3,500.00	For the book, "When Mountain Lions are Neighbors: Wildlife in today's California"

Neighborhood Coalition for Shelter 157 East 86th Street New York, NY 10028	PC	\$2,500.00	General Support
New York League of Conservation Voters Education Fund 30 Broad Street 30th Floor New York, NY 10004	PC	\$2,500.00	General Support
New York Public Radio 160 Varick Street New York, NY 10013	PC	\$2,500.00	General Support
New York Society Library Trustees 53 East 79th Street New York, NY 10075	PC	\$2,500.00	General Support
North Country School P.O. Box 187 4382 Cascade Road (Fed Ex) Lake Placid, NY 12946	PC	\$2,500.00	Annua Fund
Orchestra of St. Luke's 45o West 37th Street Suite 502 New York, NY 10018	PC	\$5,000.00	General Support
Park Avenue Armory 643 Park Avenue New York, NY 10065	PC	\$2,500.00	General Support
PEN American Center, Inc. 588 Broadway Suite 303 New York, NY 10012	PC	\$5,000.00	General Support
Prospect Park Alliance 95 Prospect Park West Brooklyn, NY 11215	PC	\$2,500.00	General Support
Riverkeeper 20 Secor Road Ossining, NY 10562	PC	\$5,000.00	General Support
Scenic Hudson, Inc. One Civic Center Plaza, Suite 200 Poughkeepsie, NY 12601	PC	\$5,000.00	General Support
Seven West Forty Third Street Foundation 7 West 43rd Street New York, NY 10036	PC	\$2,500.00	General Support

Shaker Museum/Mount Lebanon 88 Shaker Museum Road Old Chatham, NY 12136	PC	\$2,500.00	General Support
Spinner Publications Inc. 164 William Street New Bedford, MA 02740	PC	\$3,000.00	For the book, "A Picture History of New Bedford, Volume II: 1926-2014"
Storm King Art Center P.O. Box 280 Old Pleasant Hill Road Mountainville, NY 10953	PC	\$4,200.00	For the book, "Zhang Huan: Evoking Tradition"
The Battery Conservancy One Whitehall Street 17th Floor New York, NY 10004	PC	\$7,500.00	General Support
The Council for Canadian American Relations 14 East 60th Street Suite #700 New York, NY 10022	PC	\$3,000.00	For the book, "Partners in Design: Alfred H. Barr Jr. and Philip Johnson"
The Detroit Institute of Arts 5200 Woodward Avenue Detroit, MI 48202	PC	\$7,500.00	For the book, "Diego and Frida in Detroit"
The Grolier Club of the City of New York 47 East 60th Street New York, NY 10022	PC	\$4,000.00	For the book, "One Hundred Books Famous in Children's Literature"
The Library of America 14 East 60th Street New York, NY 10022	PC	\$2,500.00	General Support
The New York Botanical Garden 2900 Southern Boulevard Bronx, NY 10458	PC	\$3,000.00	For the book, "Flora Illustrata: Great Works from the LuEsther T. Mertz Library"
The Olana Partnership P.O. Box 199 5720 State Route 9G Hudson, NY 12534-0199	PC	\$2,500.00	General Support
The Preservation League of New York State 44 Central Lane Albany, NY 12206	PC	\$7,500.00	General Support
The Public Theater 425 Lafayette Street New York, NY 10003	PC	\$5,000.00	General Support

The SS Columbia Project 232 East 11th Street New York, NY 10003	PC	\$5,000.00	General Support
Thomas Cole National Historic Site P.O. Box 426 Catskill, NY 12414	PC	\$5,000.00	General Support
Thomas Cole National Historic Site P.O. Box 426 Catskill, NY 12414	PC	\$2,500.00	For the book, "Master, Mentor, Master: Thomas Cole and Frederic Church"
Time & Space Limited (TSL) P.O. Box 343 434 Columbia Street Hudson, NY 12534	PC	\$2,500.00	General Support
University of Minnesota Minneapolis, MN 55455	PC	\$3,500.00	For the book, "Barnstorming the Prairies: Aerial Vision and Modernity in Rural America, 1920-1940"
University of Virginia Office of the President, Box 9011 Charlottesville, VA 22906	PC	\$6,000.00	For the book, "Joseph Cornell and Surrealism"
Wadsworth Atheneum 600 Main Street Hartford, CT 06103	PC	\$3,000.00	For the book, "Coney Island: Visions of an American Dreamland, 1861-2008"
WAMC Northeast Public Radio 318 Central Avenue Albany, NY 12206-2522	PC	\$2,500.00	General Support
Winnakee Land Trust Inc. P.O. Box 610 Rhinebeck, NY 12572	PC	\$2,500.00	General Support
Yale University New Haven, CT 06510-7003	PC	\$1,500.00	For the book, "Oscar Wilde's 'Chatterton': Literary History, Romanticism, and the Art of Forgery"
Young Concert Artists, Inc. 250 West 57th Street Suite 1222 New York, NY 10107	PC	\$2,500.00	General Support
Cotidiano Mujer San Jose 1436 Montevideo C.P. 11.200 URUGUAY	PC	\$25,000.00	"Nunca en Domingo" (Never on Sunday) Radio Program

Fund for New Citizens at The New York Community Trust 909 Third Avenue New York, NY 10022	PC	\$100,000.00	Immigration Representation Project
Immigrant Justice Corps 826 Broadway New York, NY 10003	PC	\$150,000.00	To support two Justice fellows and development of new technological screening tool
Make the Road New York 301 Grove Street Brooklyn, NY 11237	PC	\$25,000.00	General Support
Manhattan Institute for Policy Research 52 Vanderbilt Avenue 3rd Floor New York, NY 10017	PC	\$100,000.00	Richard Cornuelle Awards for Social Entrepreneurship
Regional Plan Association 4 Irving Plaza New York NY	PC	\$21,800.00	General Support
McGill Queens University Press Friends of McGill University New York, NY	PC	\$5,500.00	For the book: "The Once & Future Great LAKES County. An Ecological History"
Donor's Trust 109 North Henry Street Alexandria, VA	PC	\$50,000.00	For the Philanthropic Enterprise, a project merging the activities of the project for New Philanthropy Studies and the Fund for the Study of Spontaneous Orders.
City Univesrity of New York New York, NY <i>3rd Generation Grants</i>	PC	\$12,500.00	General Spport
Anne Arundel Medical Center Foundation 2001 Medical Parkway Sajak Pavilion, Suite 550 Annapolis, MD 21401-3280	PC	\$1,000.00	Therapeutic Music Program
Association of the Bar of the City of New York Fund, Inc. 42 West 44th Street New York, NY 10036	PC	\$10,000.00	General Support for The Cyrus R. Vance Center for International Justice
Atlas DIY 278 44th Street 2nd Floor Brooklyn, NY 11232	PC	\$10,000.00	General Support
Barnard College 3009 Broadway Box AS New York, NY 10027-6598	PC	\$7,500.00	Grammar Enhancement Program

Barnard College 3009 Broadway Box AS New York, NY 10027-6598	PC	\$7,500.00	Grammar Enhancement Program
Brooklyn Bridge Park Conservancy 334 Furman Street Brooklyn, NY 11201	PC	\$5,000.00	General Support
Center for Reproductive Rights 120 Wall Street 14th Floor New York, NY 10005	PC	\$10,000.00	General Support
Chicago Public Media Navy Pier 848 East Grand Avenue Chicago, IL 60611	PC	\$5,000.00	General Support
City Club of New York 249 West 34th Street New York, NY 10001	PC	\$5,000.00	General support for its South Street Seaport efforts
City Parks Foundation The Arsenal, Central Park 830 Fifth Avenue New York, NY 10065	PC	\$10,000.00	CityParks Tennis Program
Community Foundation of Anne Arundel County 914 Bay Ridge Road Suite 220 Annapolis, MD 21403	PC	\$3,500.00	\$2,500 - Software Purchase & Grant Fund Support; \$1,000 - Laurie Sharp Endowment Fund
Gulf of Maine Research Institute 350 Commercial Street Portland, ME 04101	PC	\$15,000.00	General Support
Island Institute 386 Main Street P.O. Box 648 Rockland, ME 04841-0648	PC	\$15,000.00	General Support
Living Classrooms Foundation 1417 Thames Street Baltimore, MD 21231	PC	\$3,000.00	General Support
Natural Resources Defense Council, Inc. 40 West 20th Street New York, NY 10011	PC	\$5,000.00	General Support - Midwest Regional Office
New Foundation of Hope 8144-48 South Kedzie Avenue Chicago, IL 60652	PC	\$5,000.00	General Support



New Foundation of Hope 8144-48 South Kedzie Avenue Chicago, IL 60652	PC	\$5,000.00	General Support
North Country School P.O. Box 187 4382 Cascade Road (Fed Ex) Lake Placid, NY 12946	PC	\$10,000.00	Annual Fund - 2013-2014 "Thousand by Thousands Friends Challenge"
North Country School P.O. Box 187 4382 Cascade Road (Fed Ex) Lake Placid, NY 12946	PC	\$5,000.00	2014/2015 Annual Fund
North Country School P.O. Box 187 4382 Cascade Road (Fed Ex) Lake Placid, NY 12946	PC	\$10,000.00	Annual Fund (2013-2014)
Open Space Institute, Inc. 1350 Broadway, Suite 201 New York, NY 10018-7799	PC	\$5,000.00	General Support
Rachel's Network 1200 18th Street NW Suite 310 Washington, DC 20036	PC	\$5,000.00	General Support
Rift Valley Institute 1 St. Luke's Mews London W11IDF United Kingdom	PC	\$15,000.00	Three scholarships for regional participants in RVI summer courses in and on the Horn of Africa
Runa Foundation 33 Flatbush Avenue 5th Floor Brooklyn, NY 11217	PC	\$10,000.00	General Support
Saint Ann's School 129 Pierrepont Street Brooklyn Heights, NY 11201	PC	\$5,000.00	Annual Fund
Saint Ann's School 129 Pierrepont Street Brooklyn Heights, NY 11201	PC	\$10,000.00	Annual Fund
SoHo Rep 401 Broadway Suite 300 New York, NY 10013	PC	\$2,000.00	General Support
St. Ann's Warehouse 55 Washington Avenue #458 Brooklyn, NY 11201	PC	\$20,000.00	The Tobacco Warehouse Capital Campaign

St. John's College 60 College Avenue Annapolis, MD 21404	PC	\$5,000.00	2014/2015 Annual Fund
The Bryn Mawr School for Girls of Baltimore City 109 W. Melrose Ave Baltimore, MD 21210	PC	\$20,000.00	2014/2015 Annual Fund
The Green-Wood Historic Fund 500 25th Street at Fifth Avenue Brooklyn, NY 11232	PC	\$10,000.00	The Historic Fund
The Key School 534 Hillsmere Drive Annapolis, MD 21403	PC	\$2,500.00	2013/2014 Annual Fund
The Light House 10 Hudson Street Annapolis, MD 21401	PC	\$5,000.00	General Support
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$10,800.00	Artist Fund: Gustavo Bonevardi, Artist & Sculptor - This funding will allow the artist to work on an exhibit, and assist with the cost of materials.
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$10,800.00	Artist Fund: Gustavo Bonevardi, Artist & Sculptor - This funding will allow the artist to work on an exhibit, and assist with the cost of materials.
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$21,600.00	Artist Fund: Helen Kashap, Concert Pianist - This funding will support a NY Residency, that includes and revolves around a teaching center and program for musically gifted inner city youths. (\$20,000+\$1,600 fee)
The Urban Assembly 90 Broad Street Suite 2101 New York, NY 10004	PC	\$5,000.00	General Support
The Walters Art Museum 600 North Charles Street Baltimore, MD 21201	SO I	\$25,000.00	Annual Giving Campaign that supports its programming and exhibitions
Union Settlement Association 237 East 104th Street New York, NY 10029	PC	\$10,000.00	General Support
Stanford University 326 Galves Street Stanford, CA 94086	PC	\$25,000.00	The Stanford Fund for Undergraduate Studies

Red Hook Initiative  
767 Hicks Street  
Brooklyn, NY 11231

PC

\$5,000.00 General Support

Saint Ann's School  
129 Pierrepont Street  
Brooklyn Heights, NY 11201

PC

\$250,000.00 Campaign for Saint Ann's School

*Other Grants*

American Diabetes Association 1701 N. Beauregard Street Alexandria, VA 22311	PC	\$155.00	Tour de Cure Cycling
Atlas DIY 278 44th Street 2nd Floor Brooklyn, NY 11232	PC	\$3,000.00	General Support
Center for New Community 47 West Division, #514 Chicago, IL 60610	PC	\$4,500.00	General Support
Children's Hospital Foundation at Westchester Medical Center 100 Woods Road Taylor Pavilion Suite C3 Valhalla, NY 10595	PC	\$75.00	Team: Remember Jenna
Chore Service 322 Main Street, 2nd Floor PO Box 522 Lakeville, CT 06039	PC	\$270.00	General Support
Cookies for Kids Cancer 31 Hoffman s Crossing Road Califon, NJ 07830	PC	\$150.00	General Support
Holy Rosary Church 170 Bradhurst Avenue Hawthorne, NY 10532	PC	\$1,695.00	General Support
Hotchkiss Library of Sharon 10 Upper Main Street P.O. Box 277 Sharon, CT 06069	PC	\$180.00	18th Annual Sharon Summer Book Signing
Montclair Fund for Educational Excellence 22 Valley Road Montclair, NJ 07042	PC	\$150.00	2014 MFEE Toast To The Teachers
New York Road Runners Inc. 9 East 89th Street New York, NY 10128	PC	\$90.00	Team for Kids - supporting Niles D. Vu

Sharon Day Care Center PO Box 1031 80 Hilltop Road Sharon, CT 06069	PC	\$150.00	General Support
Sharon Woman's Club PO Box 283 Sharon, CT 06069	PC	\$150.00	SWC Scholarship Fund
The DOOR - A Center of Alternatives 121 Avenue of the Americas New York, NY 10013	PC	\$2,500.00	Legal Services Center that provides a full-range of civil legal services to immigrant youth.
Tour De Force 156 E. Main Street PO Box 395 Washingtonville, NY 10992	PC	\$1,500.00	General Support
YAI/National Institute for People with Disabilities 460 West 34th Street New York, NY 10001-2382	PC	\$75.00	General Support
The Phoenix Art Museum 1625 North Central Avenue Phoenix, AZ 85004	PC	\$40,000.00	To establish an endowment for the purchase of American Western Art
African Rainforest Conservancy 277 Broadway Suite 210 New York, NY 10007	PC	\$10,000.00	General Support
American Community Enrichment 150 Technology Way Suite 106 PO Box 3 Elma, WA 98541	PC	\$16,000.00	General Support
Forest Ethics One Haight Street San Francisco, CA 94102	PC	\$75,000.00	General Support
Jacob Burns Film Center 405 Manville Road Pleasantville, NY 10570	PC	\$100,000.00	"The Ibsen Project"
Lower East Side Printshop Inc. 306 West 37th Street 6th Floor New York, NY 10018	PC	\$15,000.00	General Support
Nellie Goodhue Group Homes PO Box 75163 Seattle, WA 98175	PC	\$35,000.00	General Support

New York Studio School of Drawing, Painting & Sculpture, Inc. 8 West 8th Street New York, NY 10011	PC	\$50,000.00	Whitney Studio Project
Non-Objectif Sud 560 Lorimer Street Brooklyn, NY 11211	PC	\$12,000.00	Catalogue for 2014 Summer Show
Poets House 10 River Terrace New York, NY 10282-1240	PC	\$20,000.00	General Support
Saint-Gaudens Memorial 34 South Highland Avenue Ossining, NY 10562	PC	\$15,000.00	To support Exhibition Programs and Concert Series
The Ensemble Studio Theatre 549 West 52nd Street New York, NY 10019	PC	\$15,000.00	General Support
The Ensemble Studio Theatre 549 West 52nd Street New York, NY 10019	PC	\$140,000.00	For Production of New Plays
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$50,000.00	Artist Fund: Marie Pohl, Artist -To produce "A Bouquet for AMK".A recording and booklet for AMK of 17 songs of Hungarian and Transylvanian gypsy songs by singer Sanda Weigl
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$30,000.00	Artist Fund: Mathilde Denize, Artist - To work on two site specific exhibits of a group of artists in L'Abbaye de St. Evrault Notre Dame of the Wood in lower Normandy and at L'Huilerie Dumortier in Tourcoing.
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$12,000.00	Artists Fund: Ruth Mirsky, Singer + Songwriter - To produce and complete two (2) CDs of her music (\$11,400 + \$600 fee)
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$10,000.00	Artist Fund: John Burrows, writer - To research "The Artists Frame in the 21st century and its Origins" (\$9500 + \$500 NYFA fee)
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$20,000.00	Artist Fund: Klaus Pohl - To continue his work on the biography of Heinrich Zimmer
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$10,000.00	Artist Fund: John Wells, To create a large, multi-panel mural composed of his works on paper spanning the last 40 years, entitled Retrospect"

The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$15,000.00	Artist Fund: Tom Beale, Sculptor. Funding will support the creation of ongoing work, including a piece to be exhibited at Danese/Corey, as well as new work and research into new materials.
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$12,000.00	Artist Fund: Inger Grytting, Artist. For NEW GRIDS, a series of paintings and drawings inspired by grid forms.
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$15,000.00	Artists Fund: Beryl Bernay, painter, photographer, journalist, TV producer. Preparation for a book of images, impressions and memories; working title "CURIOSITY".
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$20,000.00	Artists Fund: Max Lane - The Indonesia Books - Hasta Mitra Project. The funding will support research assistance and research costs, travel expenses to Netherlands to examine Hasta Mitra archives, travel expenses in Indonesia for research and writing.
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$10,000.00	Artist Fund: Lucie Pohl, Actress/Writer/Director Extraordinaire - to develop a new one-man show
The New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201	PC	\$12,000.00	Artist Fund: Lucie Pohl, Actress/Writer/Director Extraordinaire - to develop a new one-man show, Hi, Hitler a comedic solo at the 2014 Edinburgh Fringe Festival)
The Putney School 418 Houghton Brook Road Putney, VT 05346-8675	PC	\$10,000.00	Annual Fund
The San Francisco Art and Film Program 540 Alabama Street San Francisco, CA 94110	PC	\$10,000.00	General Support
University of Washington Seattle, WA 98195-2900	PC	\$60,000.00	BSE Research on sustainable production of biofiber (pulp+paper) and non-petroleum derived, bioenergy and bichemicals - Professor Bill McKean's research on paper making from non-wood biomass.
Whitney Museum of American Art 945 Madison Avenue New York, NY 10021	PC	\$25,000.00	The Alice Prize - For the book, "Hopper Drawing"
Zadock Pratt Museum 14540 Main Street PO Box 333 Prattville, NY 12468	PC	\$40,000.00	General Support
Total Grants Paid		\$6,060,140.00	

FORM 990PF, PART XV - CONTRIBUTIONS APPROVED FOR FUTURE PAYMENT

ATTACHMENT 23

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

RECIPIENT NAME AND ADDRESS

SEE STATEMENT ATTACHED

NONE  
PC

SEE SCHEDULE ATTACHED

2,912,205.

TOTAL CONTRIBUTIONS APPROVED

2,912,205.

The J.M. Kaplan Fund, Inc.  
List of Grants Payable  
31-Dec-14  
Ein: 13-6090286

Organization	Status	Description	Amount
Deep Sea Conservation Coalition (DSCC)	PC	<i>First Environmental Management Plan for Deep Sea Hydrothermal Features</i>	\$75,000
The Nature Conservancy – Montana Chapter	PC	<i>Launching Efforts to Establish Connectivity for Grizzly Bears through the High Divide</i>	\$75,000
Ocean Conservancy Inc.	PC	<i>Advancing Protection of the Aleutian Islands Marine Environment</i>	\$75,000
Wildlife Conservation Society	PC	<i>What We Know, and What We Don't, About the "Marine Serengeti"</i>	\$65,000
Pacific Environment IRS Name: Pacific Environment and Resources Center	PC	<i>Arctic Shipping Improvements to Advance Wildlife Conservation in the Bering Strait &amp; its Environs</i>	\$50,000
University of California at San Diego IRS Name: Regents of the University of California at San Diego (on behalf of Deep Ocean Stewardship Initiative (DOSI))	PC	<i>Advancing the Policy-Oriented Science of Deep Ocean Chemosynthetic Ecosystems</i>	\$50,000
<i>Penn Praxis Inc.</i>	SOI	<i>Development of a Methodology to Document and Preserve Large-scale Environmental Landscapes</i>	\$80,000
<i>The LowLine</i> IRS Name: Underground Development Foundation	PC	<i>Industrial Heritage Community Outreach Planning and Design Process</i>	\$50,000
<i>American Schools of Oriental Research</i>	PC	<i>Syrian Heritage Initiative: Preservation Planning and Training</i>	\$57,000
United States Committee of the Blue Shield	SOI	<i>No-Strike Lists for the Protection of Cultural Heritage in the Middle East</i>	\$29,000
The New York Community Trust	PC	<i>Development of the First-Ever Evaluative Methodology Using Data to Measure Public Policy – Past and Future – in New York City</i>	\$50,000
Technological Educational Institute of Athens (TEI) – Education And Research Committee	PC	<i>"Conservation of Cultural Heritage" Conference Scholarship Program for and Conservators</i>	\$25,000
<i>World Education Services Inc.</i>	PC	<i>IMPRINT– a national coalition focused on skilled immigrant integration</i>	\$115,000
Westchester Community College Foundation	PC	<i>Community College Consortium for Immigrant Education (CCCIE)</i>	\$95,000
<i>Philanthropy New York</i>	PC	<i>Fund for 2025 Initiative</i>	\$25,000
<i>Shakespeare Society Inc.</i>	PC	<i>General Support</i>	\$20,000
Christodora Inc.	PC	<i>General Support</i>	\$10,000
Housing Plus Solutions Inc.	PC	<i>General Support</i>	\$10,000



Tulane University Law School	PC	<i>Tulane Law Clinics</i>	<i>\$10,000</i>
New York Times Neediest Cases Fund	PC	<i>Catholic Charities of Archdiocese of NY and Foster Care</i>	<i>\$6,000</i>
New York Philharmonic- IRS Name: Philharmonic-Symphony Society of New York Inc.	PC	<i>General Support</i>	<i>\$5,000</i>
Brooklyn Public Library	PC	<i>Clinton Hill Branch</i>	<i>\$5,000</i>
New York Live Arts Inc.	PC	<i>General Support</i>	<i>\$3,000</i>
Pearl Theatre Co. Inc.	PC	<i>General Support</i>	<i>\$3,000</i>
Playwrights Horizons Inc.	PC	<i>General Support</i>	<i>\$3,000</i>
Theatre for a New Audience Inc.	PC	<i>General Support</i>	<i>\$3,000</i>
<i>Maryland Hall for the Creative Arts Inc.</i>	PC	<i>General Support</i>	<i>\$14,000</i>
<i>New Leaders for New Schools</i> <i>IRS Name: New Leaders</i>	PC	<i>General Support</i>	<i>\$10,000</i>
<i>Thread Inc.</i>	PC	<i>General Support</i>	<i>\$5,000</i>
Gilman School Inc.	PC	<i>The Gilman Fund</i>	<i>\$5,000</i>
Institute for Justice	PC	<i>General Support</i>	<i>\$3,000</i>
Wellness House of Annapolis	PC	<i>General Support</i>	<i>\$3,000</i>
Business Volunteers Maryland- IRS Name: Volunteer Central Inc.	PC	<i>General Support</i>	<i>\$2,500</i>
Center of Help Inc.	PC	<i>General Support</i>	<i>\$2,500</i>
Greater Homewood Community Corporation	PC	<i>Volunteering Untapped Program</i>	<i>\$2,500</i>
Green Street Academy Foundation Inc.	PC	<i>General Support</i>	<i>\$2,500</i>
Mount Vernon Place Conservancy Inc.	PC	<i>General Support</i>	<i>\$2,500</i>
Annapolis Symphony Orchestra	PC	<i>General Support</i>	<i>\$2,000</i>
Food Link Inc.	PC	<i>General Support</i>	<i>\$2,000</i>
Baltimore Robotics Center	PC	<i>General Support</i>	<i>\$1,500</i>
Annapolis Film Festival	PC	<i>General Support</i>	<i>\$1,000</i>
Compass Rose Studio Theatre	PC	<i>General Support</i>	<i>\$1,000</i>
Eastport Girls Club- IRS Name: Seeds 4 Success Inc.	PC	<i>General Support</i>	<i>\$1,000</i>
Historic Annapolis Inc.	PC	<i>General Support</i>	<i>\$1,000</i>
Providence Center Inc.	PC	<i>General Support</i>	<i>\$1,000</i>
SPCA of Anne Arundel County, MD	PC	<i>General Support</i>	<i>\$1,000</i>
YWCA of Annapolis & Anne Arundel County	PC	<i>General Support</i>	<i>\$1,000</i>

Marine Conservation Biology Institute	PC	<i>Hydrothermal Vents Conservation</i>	\$5,000
National Public Radio Inc.	PC	<i>General Support</i>	\$5,000
Planned Parenthood Federation of America	PC	<i>General Support</i>	\$5,000
Rutgers The State University of NJ	PC	<i>Institute of Marine and Coastal Studies: Deep Sea Vent Research of Richard Lutz his partner, Peter Rona</i>	\$5,000
Bernard P. Floriani Foundation Inc.	PC	<i>General Support – Bernie’s Book Bank</i>	\$2,500
UWM – Foundation Inc.	PC	<i>General Support</i>	\$2,500
<i>Island Institute</i>	PC	<i>Fund for Maine Islands</i>	\$15,000
No Labels Foundation	PC	<i>General Support</i>	\$10,000
Regional Plan Association Inc.	PC	<i>Skyline Aerial Gondola Project</i>	\$10,000
<i>Fractured Atlas Inc.</i>	PC	<i>The Ear Initiative</i>	\$21,800
Doctors Without Borders USA Inc.	PC	<i>General Support</i>	\$10,000
Restore NYC Inc.	PC	<i>General Support</i>	\$10,000
American Friends of the Trasimeno Music Festival Inc.	PC	<i>General Support</i>	\$5,000
Animal Haven Inc.	PC	<i>General Support</i>	\$5,000
The Bowery Mission- IRS Name: Christian Herald Association Inc.	PC	<i>General Support</i>	\$5,000
charity: water: IRS Name: Charity Global Inc.	PC	<i>General Support</i>	\$5,000
Healthy Planet Foundation USA	PC	<i>General Support</i>	\$5,000
Prisoner & Visitation Support	PC	<i>General Support</i>	\$5,000
Rios to Rivers	PC	<i>General Support</i>	\$5,000
Sadie Nash Leadership Project Inc.	PC	<i>General Support</i>	\$5,000
Team Rubicon	PC	<i>General Support</i>	\$5,000
Triangle Arts Association Limited	PC	<i>General Support</i>	\$5,000
<i>Alex Fund Inc.</i>	PC	<i>OvidiuRo Program</i>	\$40,000
CASES- IRS Name: Center for Alternative Sentencing and Employment Services inc.	PC	<i>General Support</i>	\$10,000
Sanctuary for Families Inc.	PC	<i>General Support</i>	\$10,000
WHEDco-- IRS Name: Womens Housing and Economic Development Corporation	PC	<i>General Support</i>	\$10,000
Red Hook Initiative	PC	<i>General Support</i>	\$9,000
Cypress Hills Local Development Corporation, Inc.	PC	<i>General Support</i>	\$5,000
Sadie Nash Leadership Project Inc.	PC	<i>General Support</i>	\$5,000
Parikrma USA Inc.	PC	<i>General Support</i>	\$5,000
<i>City Club of New York</i>	PC	<i>General Support</i>	\$4,000
The River Project Inc.	PC	<i>General Support</i>	\$4,000
The SS Columbia Project	PC	<i>General Support</i>	\$4,000
The Nature Conservancy – Adirondack Chapter	PC	<i>General Support</i>	\$2,500

Skyscraper Museum	PC	General Support	\$2,500
Adkins Arboretum Ltd.	PC	For the book, "Chesapeake Gardening and Landscaping: The Essential Green Guide"	\$4,500
Americas Society Inc.	PC	For the book, "Moderno: Design for living in Brazil, Mexico, and Venezuela, 1940s-	\$4,500
Art Media Foundation Inc.	PC	For the book "RIVER CROSSINGS: A Selection of Contemporary Art at the	\$2,500
The Barnes Foundation	PC	For the book, "African Art in the Barnes Foundation"	\$5,000
Cornell University--(On behalf of Cornell University Press)	PC	For the book, "A Not Too Greatly Changed Eden: The Story of the	\$5,000
Eakins Press Foundation	PC	For the book, "Prayer Pilgrimage for Freedom. Photographs by Lee	\$3,500
The Friends of McGill University Inc.	PC	For the book, "A Complex fate: William L. Shirer and the American Century"	\$5,000
The Friends of New York State Military Museum	PC	For the book, "A History of Saratoga Springs"	\$1,875
Garden Conservancy Inc.	PC	For the book, "The Gardens of the Garden Conservancy"	\$4,500
The Historic Districts Council Inc.	PC	For the book, "Patience and Fortitude: The Fight to Save the New York Public	\$3,000
Hudson Area Association Library	PC	For the book, Hudson, Images of America"	\$2,500
Library of American Landscape History	PC	For the book, "Ruth Shellhorn"	\$3,500
Nation Institute	PC	For the book, "Presidents"	\$4,500
Old Dartmouth Historical Society New Bedford Whaling Museum	PC	For the book, "No Ordinary Being"	\$3,500
Peabody Essex Museum	PC	For the book, "American Epics; Thomas Hart Benton and Hollywood"	\$5,000
Princeton University Press	PC	For the book, "The Urbanism of Frank Lloyd Wright"	\$7,000
United States Conference of Catholic Bishops--(On behalf of Saint Anselm College)	PC	For the book, "Fighting for the Light: Female Photographic Pioneers in the	\$3,000
Staten Island Institute of Arts and Sciences	PC	For the book, "Staten Island SEEN"	\$2,500
SUNY New Paltz Foundation Inc.-- (On behalf of Samuel Dorsky Museum of Art)	PC	For the book, "Jervis McEntee: Hudson Valley Native Son"	\$2,500
Town of Germantown	PC	For the book, "History of 18 <sup>th</sup> Century Germantown"	\$800
University of California Press Foundation	PC	For the book, "Impossible Metropolis: A New York City Atlas"	\$5,000
University of Chicago--(On behalf of University of Chicago Press)	PC	For the book, "Design for the Crowd: A History of new York's Union Square"	\$4,000
University of Chicago--(On behalf of University of Chicago Press)	PC	For the book, "The Cycling City: Bicycles and Urban America in the 1890s"	\$2,500
Trustees of Dartmouth College--(On behalf of University Press of New England)	PC	For the book, "Birding in the Hudson Valley"	\$5,000
Washington State University Foundation	PC	For the book, "Developing the Northwest: The Life and Art of Asahel Curtis"	\$3,000
Henry Francis DuPont Winterthur Museum Inc.	PC	For the book, "Back of the House and Beyond: Service Spaces in American	\$7,500
Yale University--(On behalf of Yale University Press)-	PC	For the book, "A Forest Ecosystem as a Laboratory: Fifty Years of Discovery at	\$5,000
Yale University--(On behalf of Yale University Press)	PC	For the book, "American Archipelago: What Island Communities can Teach Us	\$5,000
Critical Review Foundation Inc.	PC	General Support -- 1 <sup>st</sup> installment of \$90,000 grant	\$45,000
POINT Community Development Corporation	PC	General Support	\$75,000
The DOOR -- A Center for Alternatives	PC	General Support	\$25,000
Cotidiano Mujer	PC	"Nunca en Domingo" (Never on Sunday) Radio Program	\$25,000

CoLoki Inc.	PC	General Support - The Freeport Trailer	\$10,000
Families for Freedom Inc.	PC	General Support	\$10,000
North Fork Spanish Apostolate-- IRS Name: Sisters of the Order of St. Dominic	PC	General Support	\$10,000
Friends of Hudson River Park Inc.	PC	To develop an information application for mobile phones	\$50,000
Globe Moving Theatre-- IRS Name: Globe Theatre Inc.	PC	Engineering Drawings	\$25,000
Mystic Seaport Museum Inc.	PC	General Support	\$15,000
Regional Plan Association Inc.	PC	General Support	\$15,000
ACE Programs for the Homeless-- IRS Name: Association of Community Employment Programs for the Homeless Inc.	PC	General Operating Support	\$10,000
The Interfaith Center of New York Inc.	PC	General Support	\$10,000
The New York Stem Cell Foundation Inc.	PC	General Operating Support	\$10,000
urbanStages-- IRS Name: Playwrights' Preview productions Ltd.	PC	General Support	\$10,000
Global Foundation for Humanity	PC	Veemi Project	\$5,000
Highland Public Library	PC	General Support	\$5,000
New York School of Interior Design	PC	Geoffrey Bradfield Scholarship Fund	\$5,000
Red Hook Art Project Inc.	PC	General Support	\$5,000
Save a Child America	PC	General Support	\$5,000
The YWCA of Vermont Inc.	PC	Camp Hochelaga; Leaders on the Lake: Getting Down and Dirty with the Garden Equipment + four scholarships	\$5,000
Westminster College	PC	General Support for National Churchill Museum	\$31,305
The Wild Foundation-- IRS Name: International Wilderness Leadership Foundation	PC	Earth Vision Trust "Chasing Fire" Program	\$100,000
Dalton Schools Inc.	PC	Annual Fund	\$20,000
Black Rock Forest Consortium Inc.	PC	General Support	\$5,000
Center for Humans and Nature NFP	PC	General Support	\$5,000
Garrison Institute	PC	General Support	\$5,000
GrowNYC-- IRS Name: Council on the Environment Inc.	PC	General Support	\$5,000
New York Restoration Project	PC	General Support	\$3,600
James Marston Fitch Charitable Foundation Inc.	PC	General Support	\$1,500
New York Preservation Archive Project Inc.	PC	General Support	\$1,500
Athlete Alley Inc.	PC	General Support	\$1,000
Middlebury College-- IRS Name: President & Fellows of Middlebury College	PC	Annual Fund	\$750
Trustees of the Smith College	PC	The Smith Fund	\$750
Historic House Trust of New York City Inc.	PC	General Support	\$300
National Multiple Sclerosis Society - NYC-southern NY Chapter	PC	General Support in honor of Richard Pieper and Merrill Hesch	\$300
New York Public Radio/WNYC	PC	General Support	\$300
Support Center for Nonprofit Management Inc.	PC	General Support	\$750
Philanthropy New York Inc.	PC	General Support	\$450

Alzheimer's Association-- IRS Name: Alzheimers Disease and Related Disorders Association Inc.	PC	General Support	\$150
Leukemia & Lymphoma Society Inc.	PC	General Support	\$75
Trustees of Columbia University in the City of New York	PC	Historic Preservation Program -- 50 <sup>th</sup> Anniversary	\$3,000
Vassar College	PC	General Support	\$3,000
Community Foundations of the Hudson Valley	PC	Leah Ryan's Fund for Emerging Women Writers	\$2,000
Community Foundations of the Hudson Valley	PC	Leah Ryan's Fund for Emerging Women Writers	\$1,500
Animal Rescue Fund of the Hamptons Inc.	PC	General Support	\$500
Kinderhook Memorial Library	PC	KML Capital Campaign	\$1,500
Cotidiano Mujer Montevideo Uruguay	PC	"Nunca en Domingo" (Never on Sunday) Radio	\$25,000
Irish Georgian Society New York, NY 10128	PC	General Operating Support	\$10,000
Irish Georgian Society New York, NY 10128	PC	General Operating Support	\$20,000
Stanford University 326 Galvez Street Stanford, CA 94086	PC	The Stanford Fund for Undergraduate Education	\$25,000
German Archaeological Institute Inonu Caddes, 10 34437 Istanbul Turkey	PC	Conservation of Three Terraced Hellenistic Gymnasium at Pergamon	\$50,000
German Archaeological Institute Inonu Caddes, 10 34437 Istanbul Turkey	PC	Conservation of Three Terraced Hellenistic Gymnasium at Pergamon	\$30,000
University of Wisconsin 1848 University Avenue P.O. Box 8860 Madison, WI	PC	Conservation and Column Reconstruction of the Greek and Roman Agora at Troy	\$40,000
New York University New York, NY	PC	Anastylosis of the Propylon of the Sebasteion at Aphrodisias	\$50,000
Saint Ann's School 129 Pierrepont Street	PC	Campaign for Saint Ann's School	\$250,000

Brooklyn Heights, NY 11201			
Saint Ann's School 129 Pierrepont Street Brooklyn Heights, NY 11201	PC	<i>Campaign for Saint Ann's School</i>	<i>\$250,000</i>
University of Pennsylvania Philadelphia, PA 19104-6311	PC	Conservation of the Monumental City Gate at Gordion	<i>\$50,000</i>
University of Toronto 100 St. George Street Toronto, Ontario Canada	PC	Conservation and Interpretation of Bronze and Iron age Architectural Ruins at Atchana & Tayinat	<i>\$35,000</i>
French Institute for Anatolian Studies Nuru Ziya SOK No:10 34433 Beyoglu Istanbul Turkey	PC	Conservation and Restoration of Bronze Age Dining Hall in Labraunda	
			<i>\$75,000</i>

Total Grants Payable for 2014

\$2,912,205

THE J.M. KAPLAN FUND, INC.

13-6090286

FORM 990-PF, PART XVI-A - ANALYSIS OF OTHER REVENUE

ATTACHMENT 24

DESCRIPTION	BUSINESS CODE	EXCLUSION		RELATED OR EXEMPT FUNCTION INCOME	
		AMOUNT	CODE	AMOUNT	FUNCTION INCOME
PARTNERSHIP INCOME	900099	178,568.	18	10,933,692.	10,000.
RETURN OF GRANTS					
FEDERAL TAX REFUND					
TOTALS		178,568.		10,933,692.	10,000.