

Department of the Treasury  
Internal Revenue Service

or Section 4947(a)(1) Trust Treated as Private Foundation  
Do not enter Social Security numbers on this form as it may be made public.

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

For calendar year 2013 or tax year beginning , 2013, and ending , 20

Name of foundation <b>DORIS DUKE CHARITABLE FOUNDATION</b>		<b>A</b> Employer identification number 13-7043679
Number and street (or P.O. box number if mail is not delivered to street address)  650 FIFTH AVENUE, 19TH FLOOR	Room/suite	<b>B</b> Telephone number (see instructions) (908) 243-3619
City or town, state or province, country, and ZIP or foreign postal code  NEW YORK, NY 10019		<b>C</b> If exemption application is pending, check here <input type="checkbox"/>
<b>G</b> Check all that apply:		<b>D</b> 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
<input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change		<b>E</b> If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
<input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change		<b>F</b> If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
<b>H</b> Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation		
<input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		
<b>I</b> Fair market value of all assets at end of year (from Part II, col. (c), line 16) <b>\$ 1,859,405,732.</b>		<b>J</b> Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
<b>Part I Analysis of Revenue and Expenses</b> (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)				
<b>Revenue</b>				
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	111,178.	111,178.		
4 Dividends and interest from securities	12,421,725.	21,139,864.		
5a Gross rents				
b Net rental income or (loss)	75,565,988.			
6a Net gain or (loss) from sale of assets not on line 10				
b Gross sales price for all assets on line 6a <b>2,370,000,238.</b>		92,201,539.		
7 Capital gain net income (from Part IV, line 2)				
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) <b>ATCH 1</b>	352.	6,297,023.		
12 <b>Total.</b> Add lines 1 through 11	88,099,243.	119,749,604.		
<b>Operating and Administrative Expenses</b>				
13 Compensation of officers, directors, trustees, etc.	589,093.			606,355.
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees (attach schedule)				
b Accounting fees (attach schedule)				
c Other professional fees (attach schedule) *	8,267,486.	8,267,486.		
17 Interest				
18 Taxes (attach schedule) (see instructions) <b>ATCH 3</b>	3,389,746.			
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings	16,923.			16,773.
22 Printing and publications				
23 Other expenses (attach schedule) <b>ATCH 4</b>	7,901,648.	10,946,284.		7,545,824.
24 <b>Total operating and administrative expenses.</b> Add lines 13 through 23	20,164,896.	19,213,770.		8,168,952.
25 Contributions, gifts, grants paid	103,161,633.			75,080,723.
26 <b>Total expenses and disbursements.</b> Add lines 24 and 25	123,326,529.	19,213,770.		83,249,675.
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	-35,227,286.			
b <b>Net investment income</b> (if negative, enter -0-)		100,535,834.		
c <b>Adjusted net income</b> (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing . . . . .	1,011,045.	1,148,434.	1,148,434.
	2	Savings and temporary cash investments . . . . .	24,607,566.	49,159,744.	49,159,744.
	3	Accounts receivable ▶ Less: allowance for doubtful accounts ▶			
	4	Pledges receivable ▶ Less: allowance for doubtful accounts ▶			
	5	Grants receivable . . . . .	2,054,735.	2,495,716.	2,495,716.
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .			
	7	Other notes and loans receivable (attach schedule) ▶ Less: allowance for doubtful accounts ▶			
	8	Inventories for sale or use . . . . .			
	9	Prepaid expenses and deferred charges . . . . .	908,688.	797,364.	797,364.
	10 a	Investments - U.S. and state government obligations (attach schedule) . . . . .			
	b	Investments - corporate stock (attach schedule) ATCH 5 . . . . .	324,171,370.	371,137,433.	371,137,433.
	c	Investments - corporate bonds (attach schedule) ATCH 6 . . . . .	130,779,955.	124,926,668.	124,926,668.
	11	Investments - land, buildings, and equipment: basis Less: accumulated depreciation (attach schedule) ▶			
	12	Investments - mortgage loans . . . . .			
	13	Investments - other (attach schedule) ATCH 7 . . . . .	1,114,699,388.	1,189,857,048.	1,189,857,048.
	14	Land, buildings, and equipment: basis Less: accumulated depreciation (attach schedule) ▶			
15	Other assets (describe ▶ ATCH 8 ) . . . . .	128,421,243.	119,883,325.	119,883,325.	
16	<b>Total assets</b> (to be completed by all filers - see the instructions. Also, see page 1, item I) . . . . .	1,726,653,990.	1,859,405,732.	1,859,405,732.	
Liabilities	17	Accounts payable and accrued expenses . . . . .	2,033,199.	1,490,953.	
	18	Grants payable . . . . .	51,586,242.	75,388,430.	
	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 9 ) . . . . .	118,695,015.	91,033,179.	
	23	<b>Total liabilities</b> (add lines 17 through 22) . . . . .	172,314,456.	167,912,562.	
Net Assets or Fund Balances	<b>Foundations that follow SFAS 117, check here</b> <input checked="" type="checkbox"/> <b>and complete lines 24 through 26 and lines 30 and 31.</b>				
	24	Unrestricted . . . . .	1,554,339,534.	1,691,493,170.	
	25	Temporarily restricted . . . . .			
	26	Permanently restricted . . . . .			
	<b>Foundations that do not follow SFAS 117, . . .</b> <input type="checkbox"/> <b>check here and complete lines 27 through 31.</b>				
	27	Capital stock, trust principal, or current funds . . . . .			
	28	Paid-in or capital surplus, or land, bldg., and equipment fund . . . . .			
29	Retained earnings, accumulated income, endowment, or other funds . . . . .				
30	<b>Total net assets or fund balances</b> (see instructions) . . . . .	1,554,339,534.	1,691,493,170.		
31	<b>Total liabilities and net assets/fund balances</b> (see instructions) . . . . .	1,726,653,990.	1,859,405,732.		

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 1,554,339,534.
2	Enter amount from Part I, line 27a . . . . .	2 -35,227,286.
3	Other increases not included in line 2 (itemize) ▶ ATCH 10 . . . . .	3 172,380,922.
4	Add lines 1, 2, and 3 . . . . .	4 1,691,493,170.
5	Decreases not included in line 2 (itemize) ▶ . . . . .	5
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 1,691,493,170.

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

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)

	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
<b>1a</b> SEE PART IV SCHEDULE			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
<b>a</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			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
<b>a</b>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

<b>2</b> Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	<b>2</b>	92,201,539.
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8		<b>3</b>	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))
2012	86,576,154.	1,559,889,084.	0.055501
2011	84,732,632.	1,596,811,002.	0.053064
2010	85,259,405.	1,507,779,999.	0.056546
2009	85,106,004.	1,386,461,656.	0.061384
2008	112,918,793.	1,768,728,530.	0.063842

<b>2</b> Total of line 1, column (d)	<b>2</b>	0.290337
<b>3</b> Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	<b>3</b>	0.058067
<b>4</b> Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	<b>4</b>	1,645,344,824.
<b>5</b> Multiply line 4 by line 3	<b>5</b>	95,540,238.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	1,005,358.
<b>7</b> Add lines 5 and 6	<b>7</b>	96,545,596.
<b>8</b> Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	<b>8</b>	83,234,494.

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

Table with 11 rows for excise tax calculations. Includes categories like 'Exempt operating foundations', 'Domestic foundations', 'Tax under section 511', 'Credits/Payments', and 'Tax due'. Total tax due is 989,283.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Includes questions about political campaigns, political expenditures, and foundation status. Includes 'Yes' and 'No' columns.

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? . . . . . 13 X
Website address WWW.DDCF.ORG
14 The books are in care of EILEEN OBERLANDER Telephone no. 908-243-3619
Located at 1112 DUKES PARKWAY WEST HILLSBOROUGH, NJ ZIP+4 08844
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here . . . . . 15
16 At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? . . . . . 16 Yes No 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.

1a During the year did the foundation (either directly or indirectly):
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? . . . . . Yes X No
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? . . . . . Yes X No
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? . . . . . Yes X No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? . . . . . X Yes No
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? . . . . . Yes X No
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) . . . . . Yes X 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)? . . . . . 1b X
Organizations relying on a current notice regarding disaster assistance check here . . . . .
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013? . . . . . 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 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? . . . . . Yes X 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? . . . . . Yes X No
b If "Yes," did it have excess business holdings in 2013 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 2013.) . . . . . 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 2013? . . . . . 4b X

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 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions)  Yes  No
  - (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?  Yes  No
- b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?  Yes  No  
 Organizations relying on a current notice regarding disaster assistance check here
- c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ATCH 11  Yes  No  
 If "Yes," attach the statement required by Regulations section 53.4945-5(d).
- 6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?  Yes  No
- b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?  Yes  No  
 If "Yes" to 6b, file Form 8870.
- 7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?  Yes  No
- b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?  Yes  No

5b		X
6b		X
7b		

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (if not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
----- ATCH 12 -----		606,355.	0	0
-----				
-----				
-----				

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

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

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

**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 13		2,783,920.
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-----		
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<b>Total number of others receiving over \$50,000 for professional services</b> . . . . .		9

**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 SEE ATTACHMENTS 16 & 17	
-----	
-----	170,238.
2	
-----	
-----	
3	
-----	
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4	
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**Part IX-B Summary of Program-Related Investments** (see instructions)

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

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

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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
<b>a</b>	Average monthly fair market value of securities	<b>1a</b>	1,632,010,354.
<b>b</b>	Average of monthly cash balances	<b>1b</b>	38,390,483.
<b>c</b>	Fair market value of all other assets (see instructions)	<b>1c</b>	
<b>d</b>	<b>Total</b> (add lines 1a, b, and c)	<b>1d</b>	1,670,400,837.
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1e</b>	
<b>2</b>	Acquisition indebtedness applicable to line 1 assets	<b>2</b>	
<b>3</b>	Subtract line 2 from line 1d	<b>3</b>	1,670,400,837.
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	25,056,013.
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	1,645,344,824.
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5	<b>6</b>	82,267,241.

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

<b>1</b>	Minimum investment return from Part X, line 6	<b>1</b>	82,267,241.
<b>2a</b>	Tax on investment income for 2013 from Part VI, line 5	<b>2a</b>	2,010,717.
<b>b</b>	Income tax for 2013. (This does not include the tax from Part VI.)	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b	<b>2c</b>	2,010,717.
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	80,256,524.
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	213,828.
<b>5</b>	Add lines 3 and 4	<b>5</b>	80,470,352.
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	<b>7</b>	80,470,352.

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

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
<b>a</b>	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	<b>1a</b>	83,234,494.
<b>b</b>	Program-related investments - total from Part IX-B	<b>1b</b>	
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the:		
<b>a</b>	Suitability test (prior IRS approval required)	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule)	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	83,234,494.
<b>5</b>	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	<b>5</b>	0
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	<b>6</b>	83,234,494.

**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 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7 . . . . .				80,470,352.
2 Undistributed income, if any, as of the end of 2013:				
a Enter amount for 2012 only . . . . .				
b Total for prior years: 20 11 , 20 10 , 20 09 . . . . .				
3 Excess distributions carryover, if any, to 2013:				
a From 2008 . . . . .				
b From 2009 . . . . .				
c From 2010 . . . . .				
d From 2011 . . . . .				
e From 2012 . . . . .	1,487,150.			
f Total of lines 3a through e . . . . .	1,487,150.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ \$ 83,234,494 . . . . .				
a Applied to 2012, but not more than line 2a . . . . .				
b Applied to undistributed income of prior years (Election required - see instructions). . . . .				
c Treated as distributions out of corpus (Election required - see instructions) . . . . .				
d Applied to 2013 distributable amount . . . . .				80,470,352.
e Remaining amount distributed out of corpus . . . . .	2,764,142.			
5 Excess distributions carryover applied to 2013 . . . . . (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5 . . . . .	4,251,292.			
b Prior years' undistributed income. Subtract line 4b from line 2b . . . . .				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed . . . . .				
d Subtract line 6c from line 6b. Taxable amount - see instructions . . . . .				
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instructions . . . . .				
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014 . . . . .				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) . . . . .				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . . . .				
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a . . . . .	4,251,292.			
10 Analysis of line 9:				
a Excess from 2009 . . . . .				
b Excess from 2010 . . . . .				
c Excess from 2011 . . . . .				
d Excess from 2012 . . . . .	1,487,150.			
e Excess from 2013 . . . . .	2,764,142.			

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9) NOT APPLICABLE

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2013, 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)

Table with 5 columns: (a) 2013, (b) 2012, (c) 2011, (d) 2010, (e) Total. Rows include: 2a Enter the lesser of the adjusted net income...; b 85% of line 2a; c Qualifying distributions from Part XII...; 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; 3 Complete 3a, b, or c for the alternative test relied upon: a "Assets" alternative test; b "Endowment" alternative test; c "Support" alternative test.

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).

N/A

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.

N/A

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:

N/A

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

SEE ATTACHMENT 18

c Any submission deadlines:

SEE ATTACHMENT 18

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

SEE ATTACHMENT 18

**Part XV Supplementary Information (continued)**

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a Paid during the year</b> SEE ATTACHMENT 15				75,080,723.
<b>Total</b> . . . . . ▶ <b>3a</b>				75,080,723.
<b>b Approved for future payment</b> SEE ATTACHMENT 15A				54,653,423.
<b>Total</b> . . . . . ▶ <b>3b</b>				54,653,423.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

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

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

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

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

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

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

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 [X]

b If "Yes," complete the following schedule.

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

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

Sign Here

Signature of officer or trustee: Edward P. Henry

Date: 10-27-14

Title: President

May the IRS discuss this return with the preparer shown below (see instructions)? [X] Yes [ ] No

Paid Preparer Use Only

Print/Type preparer's name: SCOTT THOMPSETT
Preparer's signature: [Signature]
Date: 10/27/14
Check self-employed if PTIN: P00741490
Firm's name: GRANT THORNTON LLP
Firm's address: 666 THIRD AVENUE, NEW YORK, NY 10017-4057
Firm's EIN: 36-6055558
Phone no.: 212-599-0100

**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)	
		SEE ATTACHMENT 19					92201539.	
TOTAL GAIN (LOSS) .....							<u>92201539.</u>	

ATTACHMENT 1

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
MISCELLANEOUS INCOME		
FLOW THROUGH INCOME FROM INVESTMENTS		
IN LIMITED PARTNERSHIPS	352.	352.
LESS INVESTMENT LOSSES REPORTED AS		5,281,921.
UNRELATED BUSINESS INCOME ON 990-T		1,014,750.
TOTALS	<u>352.</u>	<u>6,297,023.</u>

ATTACHMENT 2

FORM 990PF, PART I -- OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
CUSTODY FEES	692,382.	692,382.
MANAGERS BASE FEES	2,526,268.	2,526,268.
INVESTMENT ADVISORY FEES	431,419.	431,419.
OTHER INVESTMENT EXPENSES	4,568,783.	4,568,783.
INVESTMENT MGMT FEES ALLOCATED TO DDF (ON ITS HOLDINGS)	-35,681.	-35,681.
BANK FEES	19,894.	19,894.
SECURITIES LENDING EXPENSE	43,231.	43,231.
CONSULTING	21,190.	21,190.
TOTALS	<u>8,267,486.</u>	<u>8,267,486.</u>



ATTACHMENT 3FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>
STATE UBIT TAXES	2,773.
CURRENT & DEFERRED FEDERAL EXCISE TAX	3,386,973.
TOTALS	<u>3,389,746.</u>

ATTACHMENT 4

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
MANAGEMENT FEES	7,853,254.		7,468,469.
INSURANCE	72,734.		74,410.
FILING FEES	1,510.		1,510.
MISCELLANEOUS OFFICE EXPENSES	1,448.		1,435.
PENALTIES	-27,298.		
FLOW-THROUGH EXPENSES FROM INVESTMENTS IN LIMITED PARTNERSHIPS		10,946,284.	
TOTALS	<u>7,901,648.</u>	<u>10,946,284.</u>	<u>7,545,824.</u>

ATTACHMENT 5

FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
EQUITY INVESTMENTS	100,033,839.	100,033,839.
COMMINGLED INVESTMENTS	271,103,594.	271,103,594.
TOTALS	<u>371,137,433.</u>	<u>371,137,433.</u>

ATTACHMENT 6

FORM 990PF, PART II - CORPORATE BONDS

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
FIXED INCOME INVESTMENTS	129,126,238.	129,126,238.
LESS FIXED INCOME INVESTMENT ALLOCATED TO DORIS DUKE FOUNDATION	-4,199,570.	-4,199,570.
TOTALS	<u>124,926,668.</u>	<u>124,926,668.</u>

ATTACHMENT 7

FORM 990PF, PART II - OTHER INVESTMENTS

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
MULTI-STRATEGY ALTERNATIVES	416,728,362.	416,728,362.
PRIVATE EQUITY INVESTMENTS	261,261,566.	261,261,566.
DISTRESSED/HIGH YIELD	109,963,744.	109,963,744.
FUND OF FUNDS	89,095,746.	89,095,746.
BUYOUTS/GROWTH NON-MARKETABLE	114,827,933.	114,827,933.
VENTURE CAPITAL	103,999,916.	103,999,916.
DISTRESSED NON-MARKETABLE ALT	10,991,083.	10,991,083.
REAL ASSETS	82,988,698.	82,988,698.
TOTALS	<u>1,189,857,048.</u>	<u>1,189,857,048.</u>

ATTACHMENT 8

FORM 990PF, PART II - OTHER ASSETS

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
SALES COMMITMENT RECEIVABLE	118,058,993.	118,058,993.
INTEREST RECEIVABLE	689,994.	689,994.
DIVIDENDS RECEIVABLE	653,844.	653,844.
TAX RECLAIM RECEIVABLE	65,398.	65,398.
OTHER INVESTMENT INCOME RECEIVABLE	7,860.	7,860.
DUE FROM DORIS DUKE FOUNDATION	2,232.	2,232.
DUE FROM DORIS DUKE FOUNDATION FOR ISLAMIC ART COLLECTIBLES	24,034.	24,034.
	380,970.	380,970.
<b>TOTALS</b>	<u>119,883,325.</u>	<u>119,883,325.</u>

ATTACHMENT 9FORM 990PF, PART II - OTHER LIABILITIES

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>
DUE TO DORIS DUKE MANAGEMENT FOUNDATION	4,871,572.
DUE TO DUKE FARMS FOUNDATION	156,960.
DEFERRED FEDERAL & STATE EXCISE TAXES	9,509,492.
PURCHASE COMMITMENTS PAYABLE	76,492,959.
SECURITIES LENDING PAYABLE	2,196.
TOTALS	<u>91,033,179.</u>

ATTACHMENT 10FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

<u>DESCRIPTION</u>	<u>AMOUNT</u>
NET UNREALIZED GAIN ON SECURITIES	171,939,941.
CHANGE IN VALUE OF BENEFICIAL INTEREST IN TRUSTS HELD BY OTHERS	440,981.
TOTAL	<u>172,380,922.</u>



**Doris Duke Charitable Foundation**  
**Form 990-PF - Return of Private Foundation**  
**FYE: 12/31/2013**  
**Attachment 11**

**The Doris Duke Charitable Foundation maintained expenditure responsibility for six grants to:**

Grantees

Doris Duke Foundation

Doris Duke Monument Foundation

Doris Duke Foundation for Islamic Art

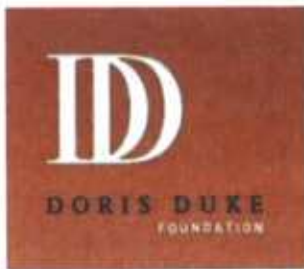
Doris Duke Farms

Newport Restoration Foundation

International Network for Cancer Treatment and Research USA

The expenditure responsibility reports follow this attachment 11 cover sheet.

The Doris Duke Charitable Foundation also maintained expenditure responsibility for various grants that were approved in 2013, but were not actually disbursed until the following year. The expenditure responsibility statement for those grants will be included with the 12/31/2014 form 990-PF, annual filings.



October 9, 2014

Edward P. Henry  
President  
Doris Duke Charitable Foundation  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, NY 10019

Re: Doris Duke Charitable Foundation Grant No. 2013030

Dear Mr. Henry:

In February 2013, the Doris Duke Charitable Foundation (DDCF) made a grant to the Doris Duke Foundation ("DDF") totaling \$5,500,000 (the "Grant").

By grant agreement executed February 27, 2013 (the "Grant Agreement"), DDF agreed to submit an expenditure responsibility report (as required by Treas. Reg. §53.4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent. In addition, in the Grant Agreement, DDF represented that before the end of DDF's fiscal year following the year in which grant payments were received, DDF would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of those, and that DDF would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made.

**Name and address of grantee:**

Doris Duke Foundation  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, NY 10019

**Purpose of Grant:** To support the second cohort of Doris Duke Artist Award recipients, to be selected for funding through the Doris Duke Performing Artists Awards Program in 2013 (the "Awards Program")

**Use of Qualifying Distribution Grant funds by DDF:** This is a report for calendar year 2013. DDF received payments from DDCF totaling \$1,361,517 in 2013. The grant funds were fully expended in 2013 toward the second cohort of Doris Duke Artist Award recipients, as shown on the following pages.

No portion of the grant funds has been diverted from the approved purpose of the Grant.

Very truly yours,

A handwritten signature in black ink, appearing to read 'Peter Simmons', written over a white background.

Peter Simmons  
Chief Operating Officer  
Doris Duke Foundation

## Doris Duke Artist Awards - 2013 Cohort (20 Artists): Grants Approved and Paid 2013

Recipient*	Purpose	Approvals 2013	Paid 2013	Balance
<b>Braxton, Anthony</b>	<i>Doris Duke Artist Award 2013 - Unrestricted</i>	225,000	90,000	135,000
	<i>Doris Duke Artist Award 2013 - Audience Development</i>	25,000	0	25,000
	<i>Doris Duke Artist Award 2013 - Incentive Funding</i>	25,000	0	25,000
<b>Childs, William</b>	<i>Doris Duke Artist Award 2013 - Unrestricted</i>	225,000	90,000	135,000
	<i>Doris Duke Artist Award 2013 - Audience Development</i>	25,000	0	25,000
	<i>Doris Duke Artist Award 2013 - Incentive Funding</i>	25,000	0	25,000
<b>Chong, John Ping</b>	<i>Doris Duke Artist Award 2013 - Unrestricted</i>	225,000	75,000	150,000
	<i>Doris Duke Artist Award 2013 - Incentive Funding</i>	25,000	0	25,000
<b>Copper, Kelly</b>	<i>Doris Duke Artist Award 2013 - Unrestricted</i>	225,000	50,000	175,000
	<i>Doris Duke Artist Award 2013 - Audience Development</i>	25,000	0	25,000
	<i>Doris Duke Artist Award 2013 - Incentive Funding</i>	25,000	0	25,000
<b>D'Amour, Lisa</b>	<i>Doris Duke Artist Award 2013 - Unrestricted</i>	225,000	0	225,000
	<i>Doris Duke Artist Award 2013 - Audience Development</i>	25,000	0	25,000
	<i>Doris Duke Artist Award 2013 - Incentive Funding</i>	25,000	0	25,000
<b>Dorvillier, Deanna</b>	<i>Doris Duke Artist Award 2013 - Unrestricted</i>	225,000	50,000	175,000
	<i>Doris Duke Artist Award 2013 - Incentive Funding</i>	25,000	0	25,000
<b>ElSaffar, Amir</b>	<i>Doris Duke Artist Award 2013 - Unrestricted</i>	225,000	60,000	165,000
	<i>Doris Duke Artist Award 2013 - Audience Development</i>	25,000	0	25,000
	<i>Doris Duke Artist Award 2013 - Incentive Funding</i>	25,000	0	25,000
<b>Gordon, David</b>	<i>Doris Duke Artist Award 2013 - Unrestricted</i>	225,000	90,000	135,000
	<i>Doris Duke Artist Award 2013 - Incentive Funding</i>	25,000	8,334	16,666
<b>Graney, Patricia</b>	<i>Doris Duke Artist Award 2013 - Unrestricted</i>	225,000	50,000	175,000
	<i>Doris Duke Artist Award 2013 - Audience Development</i>	25,000	0	25,000
	<i>Doris Duke Artist Award 2013 - Incentive Funding</i>	25,000	0	25,000
<b>Klein, Stacy</b>	<i>Doris Duke Artist Award 2013 - Unrestricted</i>	225,000	80,000	145,000
	<i>Doris Duke Artist Award 2013 - Incentive Funding</i>	25,000	0	25,000
<b>Lang, David</b>	<i>Doris Duke Artist Award 2013 - Unrestricted</i>	225,000	0	225,000
	<i>Doris Duke Artist Award 2013 - Audience Development</i>	25,000	0	25,000
	<i>Doris Duke Artist Award 2013 - Incentive Funding</i>	25,000	0	25,000
<b>Liska, Pavol</b>	<i>Doris Duke Artist Award 2013 - Unrestricted</i>	225,000	0	225,000
	<i>Doris Duke Artist Award 2013 - Audience Development</i>	25,000	0	25,000
	<i>Doris Duke Artist Award 2013 - Incentive Funding</i>	25,000	0	25,000
<b>Mahanthappa, Rudresh</b>	<i>Doris Duke Artist Award 2013 - Unrestricted</i>	225,000	90,000	135,000
	<i>Doris Duke Artist Award 2013 - Audience Development</i>	25,000	0	25,000
	<i>Doris Duke Artist Award 2013 - Incentive Funding</i>	25,000	0	25,000

## Doris Duke Artist Awards - 2013 Cohort (20 Artists): Grants Approved and Paid 2013

Recipient*	Purpose	Approvals 2013	Paid 2013	Balance
Malpede, John	Doris Duke Artist Award 2013 - Unrestricted	225,000	25,000	200,000
	Doris Duke Artist Award 2013 - Incentive Funding	25,000	5,000	20,000
Masaoka, Miya	Doris Duke Artist Award 2013 - Unrestricted	225,000	45,000	180,000
	Doris Duke Artist Award 2013 - Audience Development	25,000	0	25,000
	Doris Duke Artist Award 2013 - Incentive Funding	25,000	0	25,000
Melford, Myra	Doris Duke Artist Award 2013 - Unrestricted	225,000	88,200	136,800
	Doris Duke Artist Award 2013 - Audience Development	25,000	0	25,000
	Doris Duke Artist Award 2013 - Incentive Funding	25,000	0	25,000
O'Connor, Tere	Doris Duke Artist Award 2013 - Unrestricted	225,000	60,000	165,000
	Doris Duke Artist Award 2013 - Audience Development	25,000	0	25,000
	Doris Duke Artist Award 2013 - Incentive Funding	25,000	0	25,000
Parker, William	Doris Duke Artist Award 2013 - Unrestricted	225,000	90,000	135,000
	Doris Duke Artist Award 2013 - Audience Development	25,000	0	25,000
	Doris Duke Artist Award 2013 - Incentive Funding	25,000	9,983	15,018
Streb, Elizabeth	Doris Duke Artist Award 2013 - Unrestricted	225,000	60,000	165,000
	Doris Duke Artist Award 2013 - Incentive Funding	25,000	10,000	15,000
Zollar, Willa Jo	Doris Duke Artist Award 2013 - Unrestricted	225,000	60,000	165,000
	Doris Duke Artist Award 2013 - Incentive Funding	25,000	0	25,000
<b>TOTAL to Individuals</b>		<b>\$5,325,000</b>	<b>\$1,186,517</b>	<b>\$4,138,484</b>

**From John Ping Chong's Audience Development funds (\$25,000):**

<b>Fiji Theater Company Inc</b>	25,000	25,000	0
47 Great Jones St. Floor 6, New York, NY 10012			
<i>To support creation of on-line tools and content to strengthen connections between Ping Chong + Company's audiences and Ping Chong's history as an artist</i>			

**From Deanna Dorvillier's Audience Development funds (\$25,000):**

<b>Human Future Dance Corps Inc</b>	25,000	25,000	0
140 Second Avenue, Suite 404, New York, NY 10003			
<i>To support "Diary of an Image, and a Catalogue of Steps" a platform of events presented by Danspace Project</i>			

**From Gordon Davis's Audience Development funds (\$25,000):**

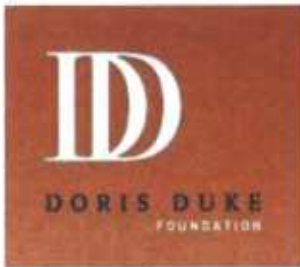
<b>Pick Up Performance Company Inc</b>	25,000	25,000	0
440 W 34th Street, #5B, New York, NY 10001-2327			
<i>To support securing residencies with national presenting entities for a new work</i>			

**From Stacey Klein's Audience Development funds (\$25,000):**

<b>Double Edge Theatre Productions Incorporated</b>	25,000	25,000	0
948 Conway Road, Ashfield, MA 01330			
<i>To support interdisciplinary collaborations with art museums, galleries, and visual artists locally, nationally, and internationally to engage new audiences</i>			

**Doris Duke Artist Awards - 2013 Cohort (20 Artists): Grants Approved and Paid 2013**

Recipient*	Purpose	Approvals 2013	Paid 2013	Balance
<b>From John Malpede's Audience Development funds (\$25,000):</b>				
Los Angeles Poverty Department		25,000	25,000	0
PO Box 26190, Los Angeles, CA 90026-0190				
<i>To support "Festival for all Skid Row Artists."</i>				
<b>From Elizabeth Streb's Audience Development funds (\$25,000):</b>				
STREB Inc.		25,000	25,000	0
51 N 1st Street, Brooklyn, NY 11249				
<i>To support the "Risky Talking" event series, to engage new audiences through discussion, debate, and "doing."</i>				
<b>From Willa Jo Zollar's Audience Development funds (\$25,000):</b>				
UBW, Inc		25,000	25,000	0
138 S. Oxford Street, #4B, Brooklyn, NY 11217				
<i>To support a convening to build and strengthen audiences and support creative process.</i>				
<b>TOTAL to Organizations</b>		<b>\$175,000</b>	<b>\$175,000</b>	<b>\$0</b>
<b>TOTAL Grants Approved and Paid in 2013 from DDCF Grant #2013030</b>		<b>\$5,500,000</b>	<b>\$1,361,517</b>	<b>\$4,138,484</b>



October 9, 2014

Edward P. Henry  
President  
Doris Duke Charitable Foundation  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, NY 10019

Re: Doris Duke Charitable Foundation Grant No. 2012015

Dear Mr. Henry:

In 2012, the Doris Duke Charitable Foundation (DDCF) made a grant to the Doris Duke Foundation (“DDF”) totaling \$5,775,000 (the “Grant”).

By grant agreement executed April 3, 2012 and Amendment executed May 18, 2012 (collectively, the “Grant Agreement”), DDF agreed to submit an expenditure responsibility report (as required by Treas. Reg. §53.4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent. In addition, in the Grant Agreement, DDF represented that before the end of DDF’s fiscal year following the year in which grant payments were received, DDF would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of those, and that DDF would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made.

**Name and address of grantee:**

Doris Duke Foundation  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, NY 10019

**Purpose of Grant:** To support the first cohort of Doris Duke Artists Award recipients selected for funding through the Doris Duke Performing Artists Awards Program (the “Awards Program”)

**Use of Qualifying Distribution Grant funds by DDF:** This is a report for calendar year 2013. DDF received grant payments from DDCF totaling \$1,460,159 in 2013. The grant funds were fully expended in 2013 toward the first cohort of Awards Program recipients, as shown on the following pages.

No portion of the grant funds has been diverted from the approved purpose of the Grant.

Very truly yours,

A handwritten signature in black ink, appearing to read 'Peter Simmons', written over a horizontal line.

Peter Simmons  
Chief Operating Officer  
Doris Duke Foundation

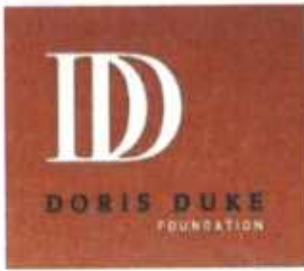
**Doris Duke Artist Awards - 2012 Cohort (21 Artists): Grants Paid 2013**  
**Grant No. 2012015**

<b>Recipient*</b>	<b>Purpose</b>	<b>Amount Paid 2013</b>	<b>Approved for Future Payment</b>
<b>Anne Bogart</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	50,000	175,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	5,000	20,000
<b>Don Byron</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	40,000	105,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	5,000	15,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	0	25,000
<b>Wally Cardona</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	45,000	130,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	0	10,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	8,500	16,500
<b>Rinde Eckert</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	45,000	135,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	0	25,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	10,000	15,000
<b>Bill Frisell</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	45,000	135,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	0	25,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	7,500	15,000
<b>Deborah Hay</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	80,000	145,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	0	25,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	12,500	12,500
<b>John Hollenbeck</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	60,000	115,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	10,000	15,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	11,000	14,000
<b>Vijay Iyer</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	90,000	135,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	8,000	17,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	25,000	0
		0	
<b>Marc Bamuthi Joseph</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	75,000	115,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	0	15,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	0	25,000
<b>Elizabeth LeCompte</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	75,000	75,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	0	25,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	6,000	19,000
<b>Young Jean Lee</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	37,000	135,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	13,462	11,538

<b>Recipient*</b>	<b>Purpose</b>	<b>Amount Paid 2013</b>	<b>Approved for Future Payment</b>
<b>Ralph Lemon</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	77,500	147,500
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	0	0
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	12,500	12,500
<b>Richard Maxwell</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	0	0
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	42,500	125,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	0	25,000
<b>Sarah Michelson</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	2,500	17,500
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	71,500	153,500
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	0	25,000
<b>Bebe Miller</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	5,000	20,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	90,000	45,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	0	11,080
<b>Nicole Mitchell</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	0	17,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	52,500	172,500
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	0	25,000
<b>Meredith Monk</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	0	25,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	67,500	67,500
<b>Eiko Otake</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	5,000	15,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	35,000	165,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	0	15,000
<b>Takashi Koma Otake</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	3,277	21,723
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	45,000	180,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	0	15,000
<b>Basil Twist</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	0	20,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	50,000	100,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	0	0
<b>Reggie Wilson</b>	<i>Doris Duke Artist Award 2012 - Unrestricted</i>	0	25,000
	<i>Doris Duke Artist Award 2012 - Audience Development</i>	40,000	145,000
	<i>Doris Duke Artist Award 2012 - Incentive Funding</i>	0	15,000
<b>Total - Grants to Individuals</b>		<b>\$1,363,739</b>	<b>\$3,376,341</b>



<b>Recipient*</b>	<b>Purpose</b>	<b>Amount Paid 2013</b>	<b>Approved for Future Payment</b>
<b>From Anne Bogart Audience Development funds (\$25,000):</b>			
Saratoga International Theater Institute, Inc. 520 8th Ave, Ste 310, 3rd fl., New York, NY 10018		\$12,500	\$0
<i>To support public relations for SITI's 20th Anniversary season</i>			
<b>From Wally Cardona's Audience Development funds (\$25,000):</b>			
Wcv Inc 140 Second Avenue, #501, New York, NY 10003		15,000	0
<i>To support development and creation of public platforms for "The Set Up" project to expand viewership and secure its accessibility to new audiences</i>			
<b>From Ralph Lemon's Audience Development funds (\$25,000):</b>			
Cross Performance Inc 140 Second Avenue, #501, New York, NY 10003		25,000	0
<i>To support SCAFFOLD ROOM</i>			
<b>From Bebe Miller's Audience Development funds (\$25,000):</b>			
Gotham Dance Inc 140 Second Avenue, Suite 404, New York, NY 10003		13,920	0
<i>To support the audience development project entitled, "Dance Fort"</i>			
<b>From Eiko Otake's Audience Development funds (\$25,000):</b>			
Inta Inc 246 West 38th Street, New York, NY 10018		10,000	0
<i>To support Eiko &amp; Koma: Caravan Project at the Museum of Modern Art</i>			
<b>From Takashi Koma Otake's Audience Development funds (\$25,000):</b>			
Inta Inc 246 West 38th Street, New York, NY 10018		10,000	0
<i>To support Eiko &amp; Koma: Caravan Project at the Museum of Modern Art</i>			
<b>From Reggie Wilson's Audience Development funds (\$25,000):</b>			
Fist and Heel Performance Group 476 Dean Street, #2, Brooklyn, NY 11217		10,000	0
<i>To expand an international audience base through Moses(es)</i>			
<b>Total Grants to Organizations</b>		<b>\$96,420</b>	<b>\$0</b>
<b>TOTAL Grants Approved and Paid in 2013 from DDCF Grant #2012115</b>		<b>\$1,460,159</b>	<b>\$3,376,341</b>



October 9, 2014

Edward P. Henry  
President  
Doris Duke Charitable Foundation  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, NY 10019

Re: Doris Duke Charitable Foundation Grant No. 2013221

Dear Mr. Henry:

In November 2013, the Doris Duke Charitable Foundation (DDCF) made a grant to the Doris Duke Foundation ("DDF") totaling \$5,500,000 (the "Grant").

By grant agreement executed December 16, 2013 (the "Grant Agreement"), DDF agreed to submit an expenditure responsibility report (as required by Treas. Reg. §53.4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent. In addition, in the Grant Agreement, DDF represented that before the end of DDF's fiscal year following the year in which grant payments were received, DDF would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of those, and that DDF would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made.

**Name and address of grantee:**

Doris Duke Foundation  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, NY 10019

**Purpose of Grant:** To support the third cohort of Doris Duke Artists Award recipients, to be selected for funding through the Doris Duke Performing Artists Awards Program in 2014.

**Use of Qualifying Distribution Grant funds by DDF:** This is a report for calendar year 2013. No payments were received from DDCF and no funds were expended in 2013.

No portion of the grant funds has been diverted from the approved purpose of the Grant.

Very truly yours,

A handwritten signature in black ink, appearing to read 'Peter Simmons', written over a white background.

Peter Simmons  
Chief Operating Officer  
Doris Duke Foundation



October 9, 2014

Edward P. Henry  
President  
Doris Duke Charitable Foundation  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, NY 10019

Re: Doris Duke Charitable Foundation Grant No. 2013222

Dear Mr. Henry:

In November 2013, the Doris Duke Charitable Foundation (DDCF) made a grant to the Doris Duke Foundation ("DDF") totaling \$1,600,000 (the "Grant").

By grant agreement executed December 16, 2013 (the "Grant Agreement"), DDF agreed to submit an expenditure responsibility report (as required by Treas. Reg. §53.4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent. In addition, in the Grant Agreement, DDF represented that before the end of DDF's fiscal year following the year in which grant payments were received, DDF would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of those, and that DDF would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made.

**Name and address of grantee:**

Doris Duke Foundation  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, NY 10019

**Purpose of Grant:** To support the first cohort of Doris Duke Impact Award recipients, to be selected for funding through the Doris Duke Performing Artists Awards Program in 2014.

**Use of Qualifying Distribution Grant funds by DDF:** This is a report for calendar year 2013. No payments were received from DDCF and no funds were expended in 2013.

No portion of the grant funds has been diverted from the approved purpose of the Grant.

Very truly yours,

A handwritten signature in black ink, appearing to read 'Peter Simmons', written over a white background.

Peter Simmons  
Chief Operating Officer  
Doris Duke Foundation

**Doris Duke Charitable Foundation**  
**GRANT AGREEMENT**  
**(Expenditure Responsibility)**

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This Grant Agreement sets forth the terms of the 1-year \$2,818.50 grant (the "Grant") by the Doris Duke Charitable Foundation ("DDCF") to Doris Duke Monument Foundation ("GRANTEE") to cover the period January 1, 2014 through December 31, 2014. The purpose of the Grant is to support the park at Queen Anne Square in Newport, Rhode Island.

The Grant, which will be considered approved only after final execution of this document, is made subject to the following terms and conditions:

**Program and Administrative Requirements**

1. The Grant is to be used by DDMF in accordance with the Grant Agreement and may not be used for any other purpose or program of DDMF without the prior written approval of DDCF.
2. DDMF agrees that not later than the end of its first taxable year after the taxable year in which it receives the DDCF grant payment, it will make a qualifying distribution out of corpus, as defined in section 4942 of the Internal Revenue Code (IRC), equal to the value of the Grant, and within such time period the DDMF agrees to provide adequate records or other sufficient evidence to DDCF to demonstrate that this distribution has been made. Such records or evidence will also state that the qualifying distribution was a distribution out of corpus under section 4942 of the IRC.
3. No funds may be used to:
  - a) Carry on propaganda, or otherwise attempt to influence legislation (as defined by Section 4945 of the IRC);
  - b) influence the outcome of any specific public election, or carry on, directly or indirectly, any voter registration drive (as defined in IRC Section 4945);
  - c) make an individual grant or re-grant funds to another organization unless the requirements of IRC 4945 are met; or
  - d) advance a purpose that is not specified in Section 170(c)(2)(B) of the Internal Revenue Code.

**Tax Exempt Status**

DDCF is making the Grant in reliance on the determination by the Internal Revenue Service that DDMF is an organization described in section 501(c)(3) of the Internal Revenue Code of 1986, as amended (the "Code") and that it is a private operating foundation. Accordingly, DDMF certifies that there are no issues presently pending before any office of the Internal Revenue Service that could result in any change to the tax status determination and agrees to notify DDCF immediately in writing of any changes to its tax-exempt status or its status as a publicly supported organization.

**Payment and Expenditure of Grant Funds**

An ACH transfer for the full amount of the Grant will be made to DDMF's bank upon receipt of the fully executed Grant Agreement.

**Reporting and Record Keeping Requirements**

1. DDMF shall submit to DDCF full and complete annual written reports on: (a) the use of the grant funds, (b) compliance with the terms of the grant, and (c) the progress made by the DDMF toward achieving the purposes for which the Grant was made. Annual reports must

be provided for the year of receipt of the Grant, and for all subsequent years until the grant funds are expended in full or the grant is otherwise terminated.

2. One copy of the report should be submitted to DDCF's Director of Grants Management within a reasonable period of time after the close of the Grantee's annual accounting period. Please include your grant number (#2012162) on the cover page of the report.
3. The DDMF is expected to maintain complete books and records of revenues and expenditures relating to the Grant, together with appropriate supporting documentation. These books and records are to be made available for inspection at reasonable times if deemed necessary by DDCF. DDCF, at its expense, may audit or have audited the records of the DDMF insofar as they relate to the disposition of the funds granted by DDCF, and the DDMF shall provide all necessary assistance in connection therewith. Records on the Grant must be kept for at least four (4) years after completion of the Grant.

#### **Conditions Necessitating a Refund to DDCF**

If any of the following circumstances occur, DDCF may, at its discretion, in addition to other remedies available to it, require that DDMF repay, upon 30-days written notice, the full amount of the Grant funds which were unspent, inappropriately spent, or reversibly committed as of the date of the occurrence, and DDCF shall have no further obligation to distribute any unpaid portion of the Grant to DDMF:

1. The purpose of the Grant has been fully completed or the period of time indicated in the Grant Agreement for the completion of the purpose of the Grant has expired (without being extended with the consent of DDCF).
2. DDMF is no longer exempt from federal taxation as an organization described in Section 501(c)(3) of the Internal Revenue Code. DDMF agrees to notify DDCF immediately upon the occurrence of this circumstance.
3. If, in DDCF's judgment, DDMF, for any reason, becomes unable to carry out the purpose of the Grant stated in the Grant Agreement, or otherwise violates the terms of the Grant Agreement.
4. DDCF conveys to DDMF in writing any concerns about the stability of DDMF's operations or organization or its compliance with the terms of this Grant Agreement and the concerns are not addressed to DDCF's satisfaction at the end of a reasonable amount of time after notice.

#### **No Assignment or Delegation**

DDMF may not assign or otherwise transfer any of its rights or delegate any of its obligations under the Grant Agreement or with respect to the Grant.

Acceptance by the **Doris Duke Charitable Foundation:**

By: Edward P. Henry  
Edward P. Henry, President

Accepted on **Dec 10, 2013**

**Doris Duke Monument Foundation**

By: Pieter N Roos  
Pieter N Roos (Dec 10, 2013)

Printed Name: **Pieter N Roos**

Title: **Executive Director**

*Grants Admin*

Doris Duke Monument Foundation  
51 Touro Street  
Newport, RI 02840  
Tel: 401-849-7300  
Fax: 401-849-0125  
[www.ddmf.org](http://www.ddmf.org)



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March 14, 2014

Mr. Edward P. Henry  
President and CEO  
Doris Duke Charitable Foundation  
650 Fifth Avenue, 19<sup>th</sup> flr  
New York, NY 10019

Dear Ed,

It is my pleasure to provide you with the following final written report and attached financial statement on the Queen Anne Square project, for your review and acceptance, in completion of the terms of the grant agreement from DDCF.

In 2009 the Newport Restoration Foundation undertook the rebuilding of Queen Anne Square, a park originally created in 1978 under the direction and through the generosity of Doris Duke. The re-design was intended to be a gift to the City of Newport, as had been the original. Unlike the original, the new park was intended to be a contemporary contribution to the centuries-old artistic and architectural heritage of Newport, achieved by hiring an artist or architect of unquestionable repute. From the first, our choice was Maya Lin, based on her long-standing reputation for working subtly and within the context of sensitive sites. We were keenly aware that the Square was in the middle of one of the oldest neighborhoods in Newport and is located immediately in front of Trinity Church, a National Historic Landmark. The carefully preserved viewshed, from iconic white church spire down to the harbor, is cherished by countless residents and visitors.

Once the NRF (under the auspices of the Doris Duke Monument Foundation, the 501(c) (3) created as the legal and financial vehicle for the project) secured her services, Maya Lin proceeded through a design process in which she involved the Board and staff at the NRF. From an early point in the design, Maya's concept was for a series of low stone foundations based on historic buildings that had at one point in time existed within what is now the park.

These would harken to the memory of earlier uses of the property, and would not only form an aesthetic basis for the park, but would solve one of the park's original problems, which was a complete lack of comfortable seating areas. If these foundations were low enough for seating, they would fulfill that function while also producing a series of natural gathering places within the park. To create this space, Maya brought together the design team talent of Edwina VonGal, a landscape designer; and Nick Benson, nationally-known and locally-based stone carver and calligrapher.

Maya and Nick had worked together on many occasions; indeed, she had worked with Nick's father, John Benson on numerous projects, including the Vietnam Memorial. Nick is a Newport artist whose work appears around the country from the Roosevelt Memorial to the Civil Rights Memorial, and we were especially pleased to incorporate him into the project, in large part because none of the Bensons had ever created a major work in their own hometown.

The project underwent considerable review and was not without its moments of vocal comment. Despite some of this friction, which is perhaps inevitable in a public art project, particularly in a small town, Maya's original vision survived undiluted, which was one of the most crucial victories in the project. Da Vinci himself could spring from the grave and in Newport and there would still be those who would consider their opinion to be superior. As John Benson once said to me "Scratch a Yankee, get a preacher." Despite the critics, the important stakeholders and funders understood the vision and provided deep and sustaining support for the project, including the Newport City Council, the Governor's office, the Rhode Island DOT and the numerous funders. Some of the highlights of the design and construction effort include the first use of LED, Dark Sky-compliant street lighting in Newport. Lighting designer Linnaea Tillett had not only worked with Maya Lin on numerous projects, but had garnered acclaim for creating the lighting standard in New York's Central Park. The new LED lighting is both environmentally friendly and considerably cheaper to use and maintain than either gas or other existing Newport street lights.

Another successful green aspect of the construction is that about 90% of the stone and brick used throughout the park was painstakingly recycled and sourced within the state and was provided by the City of Newport, Newport Restoration Foundation, or the RI Department of Transportation.

Perhaps the most visible unifying element of the park, where Maya's genius is most apparent, is the 11-foot granite slab water table, inscribed with a historic quotation from the Rhode Island charter of 1663, and which has subsequently proved a meaningful attraction for all visitors to the park.

Once underway, the construction went smoothly, led by Farrar and Associates, who were chosen not only for the quality of their work, but for their ability to keep a project on track and under budget. The construction started on October 9th, 2012 and was scheduled for completion on May 31st, 2013, the dedication date on which it opened to great fanfare and a crowd of around five hundred people. The only unanticipated budgetary issue was the environmental remediation, which proved quite burdensome both to the budget and the schedule in the final analysis. Although some level of remediation had been anticipated in the original budget, agitation with the Rhode Island Department of Environmental Management (RIDEM) by a dedicated group of critics caused an unusually high level of compliance and reporting

requirements by RIDEM, resulting in a magnitude level of increase to the costs for this side of the project. Although the rest of the project remained under budget by the time of completion, remediation had added about \$350,000 to the cost, an expense that was ultimately picked up from NRF resources.

Construction is complete and the project is fully achieved, with the exception of two minor issues. An interpretive sign scheduled for summer 2013 installation became mired in city review. By the time it was approved, the decision was made to delay installation until the spring of 2014 rather than expose it unnecessarily to winter weather. Secondly, a small commemorative stone carved by John Benson almost forty years ago for Queen Elizabeth's visit to the park in 1976 had been damaged in past decades. Efforts to restore it failed and it was decided that the best course was to have Nick Benson carve a new one. Like the interpretive sign, the stone is complete but Nick finished late in the fall, and it too will be installed this spring.

Through the course of the first season, the park has been a testament to those craftsmen who built it. We have had no significant maintenance other than some tuning of the irrigation systems and the fountain. All of the systems have functioned properly, and as yet there have been no issues with graffiti or vandalism, although we know that those are perpetual risks.

Use of the park has been gratifying ever since the day it was opened. Prior to construction it was unusual to see more than a dozen people in the park, even on the nicest of days. Most of those users were younger because older people were unwilling to spend time in a park that was devoid of seating. Subsequent to opening, the park is a busy place on any pleasant day. People engage with it, drink their coffee, use the free wifi, read a newspaper, muse on the threshold stone inscriptions, or sit with the fountain. The fountain has become popular not only as a place of reflection, but also an irresistible attraction where children and pets interact with the water, as was the intention of the artist. Of greatest interest is that the night was a time when the park was an abandoned place, threatening and without light. Now, by contrast, on a warm, fine evening the excellent new lighting allows lingering enjoyment of the park. One can see thirty or forty people sitting in the park after dark enjoying this charming urban space in a wonderful historic district.

This project was and is an outreach to the people of Newport on behalf of the Foundation. It was the Board's intention to make a gift to the city which, like the houses that Doris Duke so lovingly restored, was a lasting and tangible contribution to Newport. While the project was not without its trials and tribulations, the park has exceeded our expectations in terms of public acceptance and usage. Indeed it has, and continues to receive, favorable reviews in the public press and from various art publications, as evidenced by the recent January/February 2014 issue of Sculpture magazine (attached). The NRF is gratified to have been able to complete this project so successfully and we hope that you feel as proud of your participation as we do of ours.

Yours truly,

A handwritten signature in blue ink, appearing to read "Pieter N. Roos". The signature is fluid and cursive, with the first name "Pieter" and last name "Roos" clearly legible.

Pieter N. Roos  
Executive Director





Fiona Connor's miniaturized faux spa/day camp made of bird houses and buildings that sensibly doubled as storage cabinets; and Nick van Woert's *Primitive*, a body resembling the Hangman game formed with casts of fossilized twigs suspended from a steel girder.

Many artists followed McCarthy's lead, using irony and inversion to comment on contemporary culture. In the case of the giant red rubber *Balloon Dog*, appropriation, scale, and a rude literalism willfully subverted Jeff Koons's platinum dog collectables. Saint Clair Cemin's oversized sculpture of a hammer in a Plexiglas box conflated display with dysfunction, while Andreas Lolis's seemingly scattered collection of flattened or emptied cardboard boxes and Styrofoam strips inverted the lightness of the original materials with cast cement. (Indoors, Lolis added another kink to the concept by presenting a similar collection of discarded boxes and construction materials, now carved in marble.) In the sculpture park, Lolis's work was installed with sculptures by Franz West and Charles Long. Between them, these works argued for an alternative to the fetishized object,

proffering the potential of inventive abstraction and pragmatic play.

Under the tent, Marianne Vitale moved the outdoors inside with *Cockpit*, a "found" sculpture that meditated on rural decay and vanishing vernacular architecture. Using part of a barn wall and a roof and steeple painted black as if burnt, *Cockpit* introduced a reference to decline and falling production values that surfaced in a number of other works. Many of these accentuated the handmade and alternative sculptural materials, including Nelvin Alada's macramé pieces, Haegue Yang's improvised sculptures of yarn, light bulbs, and other found objects hanging on clothing racks, Sookyung Yee's reconstructed ceramic shard vessels, and Pae White's supermarket-like display of flowers, plants, and scattered leaves fashioned from cut paper. Other artists preferred double entendre, riffing on the real world through facsimile and false illusionism. This approach could be seen in Joseph Grigely's clear urethane casts of a woodstove and buckets, Pedro Reyes's recycled gun sculptures, and Tom Friedman's sly comments on surveillance and consumption in over-scale reproductions of pizza, candy,

Top left: Paul McCarthy, *Balloon Dog*, 2013. Vinyl-coated rubber, 60 x 47 x 20 ft. Above: Fiona Connor, *Style Guide Spa*, 2013. Mixed media, dimensions variable. Left: (foreground) Saint Clair Cemin, *Fotini*, 2013; (background) Franz West, *Untitled*, 2011. All from Frieze.

and bread presided over by a mock video camera. While these works participated in and critiqued the marketplace, Alexandre da Cunha's *Mixer (Americana)*, a revolving cement mixer drum painted with blue diamonds, focused attention on the beauty of functional form while reminding us that, in the politics of display, sometimes less is more.

—Susan Canning

## NEWPORT, RHODE ISLAND

### Maya Lin

#### Queen Anne Square

Maya Lin's *The Meeting Room*, a redo of Newport's Queen Anne Square, incorporates the talents of two long-time Lin collaborators: calligrapher and stone carver Nicolas Benson and landscape designer Edwina von Gal. Together, the three have created a serene and inspiring public space that offers opportunities to interact on many levels with a unique environment.

The Newport Restoration Foundation commissioned Lin to re-envision the square in honor of the late philanthropist Doris Duke, who preserved many of the city's 18th-century buildings. Lin's concept for *The Meeting Room* suggests a kind of archaeological dig that can also be related to her career. In terms of sculpting the land, she has changed a once flat, angled expanse into a gently rolling landscape. The result is less formal than

*Groundswell* or *Wave Field*, but it relates to those previous landworks. The constructed elements of *The Meeting Room* consist of three stacked stone foundations built on the original footprints of the 18th-, mid-19th-, and early 20th-century buildings that once occupied the site.

von Gal nested Lin's structures into the landscape (complete with mature plantings), maintaining the separate identity of the sculptures while unifying the public space in low relief. Lin's foundations don't rise more than a couple of feet above the ground and are finished on top with stone slabs that allow for seating. Threshold stones are laid flush with the earth, placing text underfoot to relationally connect with each building. If the structure was originally domestic, the text is taken from a diary; if it was a place of business, the text comes from a ledger notation. Benson carved the two business thresholds using an adapted Basterville font, while a flowing italic script identifies the domestic building. Lin chose the written content to span the centuries of American life. Part of her sensibility includes water, and *The Meeting Room* features a water table as its centerpiece. It is a low, lean, rectangular element of roughly hewn stone from which water swells. Benson, who developed a font that can still be read despite the roughness of the stone surface, says, "The carved quote and texture of the stone interweave into a complicated canvas of text."

A 2010 MacArthur Award recipient, Benson is a third-generation Newport calligrapher and stone carver. His family's business, The John Stevens Shop, was founded in 1705. The Bensons previously worked with Lin on the Vietnam Veterans Memorial,

JOHN REED MS, COURTESY/JOHN BENSONS/FRIEZE



the Civil Rights Memorial, and the Yale Women's Table. Lin, who describes her aesthetic interests as "lime, memory, and language," uses *The Meeting Room* as an opportunity to contextualize Benson's accomplishments and family legacy.

Lin notes that she has been "drawn at times to extremely under-realized urban spaces" Queen Anne Square was just such a space prior to its transformation. Today, it's a peaceful, nuanced park where people can sit back, think, and imagine, feeling a personal relationship to the city's past.

— Suzanne Volmer

#### BUENOS AIRES

##### "Art and Sustainability IV: Metaphors to Embrace the World"

Praxis International Art Gallery "Art and Sustainability IV" curator Rodrigo Alonso selected his six artists based on their ability to create "metaphors to embrace the world." The exhibition's subtitle is extremely important, because as Alonso explains, "Unlike other professional spheres, such as architecture or design, art cannot easily contribute to the actual material transformation of the planet. Nonetheless, if any one thing can be claimed as appropriate for it throughout history, it is the possibility to stimulate thought and reflection on the great problems of humanity. Artists, as shrewd and analytical witnesses of their time, have never ignored these themes, but rather have tackled them, and tackle them still, through their specific tools: symbolism, metaphor, marking and signaling, poetry."

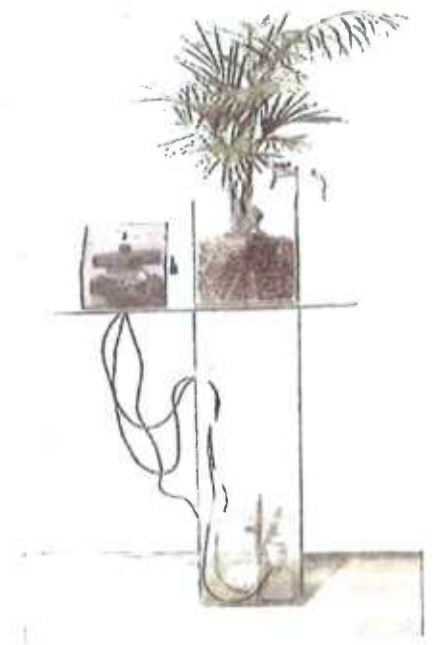
Joaquín Fargas, an industrial engineer oriented toward technological art, presented *Don Quijote contra el cambio climático*, a series of windmill-inspired sculptures designed to power a cooling system placed over the surface of Argentine Antarctica. His tongue-in-cheek approach drew attention to the challenge of preserving the world's largest ice reserve from the effects of global warming. Technological organisms created as a "new populating species" completed the work. Marina Zerbarini, who specializes in electronic works, focused on planetary health through a hypnotic cartography of colorful light. Her thesis: we are responsible for climate change on earth and its consequences, a responsibility that unites us all as humans. Romina Orazi, an active participant in Argentina's independent cultural scene who makes interventions in public space, also referred to responsibility. Her work implicated the viewer, who had to contribute—economically—to support a plant's life. The action itself was perhaps more important than

the plant, calling attention to our ability to decide the fate of a living organism. Ana Laura Cantera, an art professor who initiates scientific and artistic research projects, presented a group of dolls made of biodegradable plastics and banana fiber. She started this project some time ago in the Altamira region in Brazil. The dolls, immersed in the Rio Preto, were transformed into a network of microbial cells. A circuit of cables and electrodes turned them into interfaces capable of extracting energy from the water. Cantera re-created that sequence in the gallery in order to show connections between nature and the city. Hernán Paganini, an art director and graphic designer, built a huge organic structure, a living "assemblage," focused on his childhood memories of the countryside—he even used elements from the family house. The provisions stored inside represented the balance between natural cycles of abundance and scarcity. Daniel Fischer, an architect, freelance curator, and researcher at the Argentine Society

Left and detail: Maya Lin, *The Meeting Room*, 2013. Permanent public installation in Queen Anne Square, Newport, RI. Below left: Ana Laura Cantera, *No eres perenne*, 2013. Biodegradable plastic, microbial cells, plants, and micro-controllers, dimensions variable. Below: Romina Orazi, *Especímen*, 2013. Mixed-media participatory object, 150 x 90 x 50 cm. Both from "Art and Sustainability."

of Morphological Studies, referred to the never-ending vital vibrations of the organic universe, demonstrating the need to learn how to renew and respect available resources rather than exploiting them.

Alonso gathered a group of works that succeeded in casting light on the various ways in which we can





Doris Duke Monument Foundation

June 19, 2014

Adrienne A. Fisher  
Director of Grants Management  
Doris Duke Charitable Foundation  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, NY 10019

Re: Doris Duke Foundation Grant No. 2013213.

Dear Ms. Fisher:

In 2013, the Doris Duke Charitable Foundation (DDCF) made a grant to Doris Duke Monument Foundation ("DDMF") totaling \$2,818.50 (the "Grant").

DDMF agreed to submit an expenditure responsibility report (as required by Treas. Reg. §53.4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent.

**Name and address of grantee:**

Doris Duke Monument Foundation  
51 Touro Street  
Newport, RI 02840

**Purpose of Grant:** To support renovation of Queen Anne Square with a design by Maya Lin that will commemorate the work of Doris Duke in Newport, RI

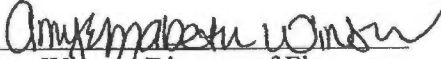
**Use of Qualifying Distribution Grant funds by DDMF:**

This is a report for calendar year 2013. DDMF received DDCF grant payments totaling \$2,818.50 during 2013. Construction of the project began on October 11, 2012 and was completed on May 30, 2013. \$1,896,397 was spent during 2013 toward the Queen Anne Square restoration project, including \$2,818.50 from the DDCF grant, as detailed in the attached report. No portion of the grant funds has been diverted from the approved purpose of the Grant.

In addition, in the Grant Agreement, DDMF represented that before the end of tax year following receipt of grant funds, DDMF would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of the payments received, and that DDMF would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made. This is a final expenditure responsibility report on this grant.

This report also serves as final expenditure responsibility report for two previous DDCF grants to support this work: #2011139 (\$8,060) and #2012162 (\$2,064). Note added by Adrienne Fisher, Director of Grants Management, DDCF on 10/2/2014.

Very truly yours,

By:   
Amy Winsor, Director of Finance  
Doris Duke Monument Foundation

Doris Duke Monument Foundation

	2010	2011	2012	2013	Total
<b>Income</b>					
Doris Duke Charitable Foundation	18,060	8,060	2,064	2,819	31,003
Doris Duke Foundation	0	0	575,000	925,000	1,500,000
McBean Charitable Trust	0	0	0	250,000	250,000
Newport Restoration Foundation	95,000	115,000	0	375,022	585,022
van Beuren Charitable Foundation	0	350,000	0	0	350,000
Hamilton Family Foundation	0	250,000	0	0	250,000
Prince Charitable Trust	0	97,000	0	0	97,000
Miscellaneous	0	73,500	0	157,980	231,480
	<b>113,060</b>	<b>893,560</b>	<b>577,064</b>	<b>1,710,821</b>	<b>3,294,505</b>
<b>Expense</b>					
<b>Design</b>					
Artist Design (includes partial lighting design)	40,000	178,102	0	175,000	393,102
Landscape Design	20,000	0	46,750	18,250	85,000
Lighting & Other Design	0	0	39,372	36,789	76,141
<b>Architectural/Engineering Design</b>					
Environmental	0	0	195,796	76,662	272,458
Landscape Engineering	0	15,000	154,465	59,104	228,569
Architectural	22,760	10,640	400	0	33,800
<b>Construction</b>					
Project Management (includes preconstruction)	3,125	1,185	89,789	20,475	114,574
Construction	0	0	452,633	1,231,738	1,684,371
Stone Carving	0	0	0	99,360	99,360
Prep of stones for installation and carving	0	0	0	64,702	64,702
Sheds (materials only)	0	0	0	11,243	11,243
<b>Consulting</b>					
Public Relations	0	12,470	22,500	7,500	42,470
Website	0	9,700	1,500	3,534	14,734
Misc. Consultants	5,000	3,481	1,000	0	9,481
Insurance	0	103	207	871	1,181
Legal Services	14,636	10,370	4,101	2,601	31,708
Personnel	0	9,800	17,908	6,205	33,913
Advertising, Printing & Marketing	45	3,873	1,283	1,185	6,385
Kickstarter	0	0	0	6,764	6,764
Miscellaneous	1,975	3,695	4,443	74,435	84,549
<b>Total Expense</b>	<b>107,541</b>	<b>258,419</b>	<b>1,032,148</b>	<b>1,896,397</b>	<b>3,294,505</b>

October 08, 2014



Mr. Peter Simmons  
Chief Operating Officer  
Doris Duke Foundation for Islamic Art  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, New York 10019

Dear Mr. Simmons:

The Doris Duke Charitable Foundation has made grants to the Doris Duke Foundation for Islamic Art in 2013 totaling \$5,975,086 to be used for the Doris Duke Foundation for Islamic Art's general operating expenses (referred to collectively as the "Grant"). Because the Doris Duke Foundation for Islamic Art is a private foundation, rather than a publicly supported charity, this Grant is subject to the "expenditure responsibility" requirements contained in the Treasury regulations. Under these regulations, the Doris Duke Charitable Foundation is required to obtain certain written commitments from the Doris Duke Foundation for Islamic Art before making payment of the Grant funds. By signing this letter, you agree on behalf of the Doris Duke Foundation for Islamic Art to the following specific obligations with respect to this Grant:

- (1) To repay any portion of the amount granted as well as income earned thereon which is not used for the purposes of the Grant stated above;
- (2) From the time the Grant is made or any portion of the Grant is received until it is fully expended or otherwise terminated, to submit a full and complete annual narrative and financial reports and a final report upon completion of the grant period, attested by the responsible financial officer of your organization or a certified public accountant, within a reasonable period of time after the close of your annual accounting period on the manner in which the Grant and income earned thereon are spent, compliance with the terms of the Grant, what was accomplished by the expenditure of funds (including a description of the progress made in accomplishing the purposes of the Grant);
- (3) To report the Grant separately on your books of account and to charge expenditures made in furtherance of the Grant purposes against the Grant.
- (4) To maintain written records of receipts and expenditures adequate to enable the use of the Grant funds to be checked readily and to make your books, records and other information available for the Doris Duke Charitable Foundation's inspection at reasonable times, which we believe necessary to keep us fully apprised of the status or use of the Grant or income arising therefrom, including any information regarding the ultimate effect of the Grant, whether or not required under the terms of section 4945 of the Internal Revenue code of 1986, as amended (the "Code");

- (5) To keep these records of receipts and expenditures and copies of reports submitted to the Doris Duke Charitable Foundation for at least four years after completion of the use of the Grant funds; and
- (6) Not to use any of the Grant or income arising therefrom,
  - a) To carry on propaganda, or otherwise attempt to influence legislation (within the meaning of section 4945(d)(1) of the Code),
  - b) To influence the outcome of any specific public election, or to carry on, directly or indirectly, any voter registration drive (within the meaning of section 4945(d)(2) of the Code),
  - c) To make any grant which does not comply with the individual grant requirements of section 4945(d)(3) of the Code or the organization grant requirements of section 4945(d)(4) of the Code, or
  - d) To undertake any activity for any purpose other than one that is charitable, scientific, literary, educational or for the prevention of cruelty to animals, or as defined in section 170(c)(2)(B) of the Code.

In the event that you violate the terms of this letter agreement by using any portion of this Grant or any income thereon for purposes other than the purpose of the Grant as previously set forth in this letter, you agree that you will refund to the Doris Duke Charitable Foundation the full amount of the Grant and pay over to the Doris Duke Charitable Foundation any additional amount which may be necessary to effect a correction under section 4945 of the Code.

The foregoing conditions are intended to comply with obligations under United States law to make reasonable efforts and establish adequate procedures to see that grant funds are spent solely for the purposes for which they are granted, and to obtain full and complete records on how grant funds have been expended. Changes in United States laws, or in regulations interpreting them, may require the Doris Duke Charitable Foundation to ask that more detailed reports be submitted or that other steps be taken. The Doris Duke Charitable Foundation will promptly inform you of any such changes, and by signing this letter you indicate your agreement to provide such additional information and comply with such requests.

The Doris Duke Foundation for Islamic Art also agrees that no later than the end of its first taxable year after the taxable year in which it receives the Grant, it will make a qualifying distribution out of corpus, as defined in section 4942 of the Code, equal to the value of the Grant, and, within such time period, the Doris Duke Foundation for Islamic Art agrees to provide adequate records or other sufficient evidence to the Doris Duke Charitable Foundation to demonstrate that this distribution has been made. Such records or evidence will state that the qualifying distribution has been made and will specify (1) the names and addresses of the recipients of any such qualifying distribution and the

October 08, 2014

amounts paid to each, (ii) the details concerning the payment of any operating expenses which are a part of such qualifying distribution and (iii) the details concerning any operating expenses paid during any of the preceding five years which the Doris Duke Foundation for Islamic Art elects pursuant to Treas. Reg. 53.4942(A)-3(c)(2)(iv) to treat as a current distribution of corpus in order to make such qualifying distribution. Such records or evidence will also state that the qualifying distribution would be treated as a distribution of corpus under section 4942 of the Code if the Doris Duke Foundation for Islamic Art were not an operating foundation.

If this letter and its attachment correctly set forth your understanding of the arrangements made regarding this Grant, please countersign the letter and return it to the Doris Duke Charitable Foundation.

Very truly yours,

The Doris Duke Charitable Foundation

By: Edward P. Henry  
Edward P. Henry, President

Agreed to and accepted on behalf of the  
Doris Duke Foundation for Islamic Art this 15<sup>TH</sup>  
day of October, 2014

By: PFS  
Peter Simmons, Chief Operating Officer



October 15, 2014



Mr. Edward P. Henry  
President  
Doris Duke Charitable Foundation  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, New York 10019

Dear Mr. Henry:

In 2013, the Doris Duke Charitable Foundation ("DDCF") made grants totaling \$5,975,086 to the Doris Duke Foundation for Islamic Art ("DDFIA"). By a letter dated October 08, 2014, I agreed on behalf of DDFIA to submit certain reports to DDCF for each year during which any grant funds remained unspent and a final report for the year in which all of the grant funds were spent. Since all of the grant funds were spent during 2013 the year in which they were granted, this is both a first and final report.

Name and address of grantee:  
Doris Duke Foundation for Islamic Art  
4055 Papu Circle  
Honolulu, HI 96816

Purpose of Grants:

To be used for DDFIA's general operating expenses. Property owned by DDFIA is used for a charitable purpose since DDFIA facilitates the study and understanding of Middle Eastern Art and Culture.

The following table contains the date of payment of each part of the grant that was spent in 2013, and a description of how the grant was spent by DDFIA:

<u>Date of Payment</u>	<u>Amount of Grant</u>	<u>Purpose for which Grant was Used</u>
01/31/13	\$803,381	Employee Related Expenses; General Admin Expenses; Program Related Expenses; General Operating Expenses; Capital Expenditures.
02/28/13	\$234,451	“
03/31/13	\$553,130	“
04/30/13	\$269,956	“
05/31/13	\$323,693	“
06/30/13	\$627,352	“
07/31/13	\$416,202	“
08/31/13	\$272,362	“
09/30/13	\$429,157	“
10/31/13	\$736,126	“
11/30/13	\$320,876	“
12/31/13	\$988,400	“

All of the grant funds have been spent for DDFIA's operating expenses, and no portion of the grant funds has been diverted from such purpose.

In addition, in the letter dated October 08, 2014 I represented that before the end of 2013, DDFIA would make a qualifying distribution out of corpus as defined in Section 4942 of the Internal Revenue Code, in the amount of \$5,975,086 and that I would provide DDCF with adequate records or other sufficient evidence to demonstrate that this distribution has been made.

As described above, all of the grant funds were spent for reasonable and necessary administration expenses to accomplish DDFIA's charitable purposes, which are qualifying distributions. Therefore, a qualifying distribution was made of the entire value of the grants in 2013.

Since DDFIA has otherwise made qualifying distributions equal to the amount of its minimum investment return, this distribution would be treated as a distribution out of corpus if DDFIA were not a private operating foundation.

Very truly yours,  
Doris Duke Foundation for Islamic Art

By:   
Peter Simmons, Chief Operating Officer

October 15, 2014

Mr. Edward P. Henry  
President  
Doris Duke Charitable Foundation  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, New York 10019



**Duke Farms**  
Living Habitats

Dear Mr. Henry:

In 2013, the Doris Duke Charitable Foundation ("DDCF") made grants totaling \$9,406,425 to Duke Farms Foundation ("DFF"). By a letter dated October 8, 2014, I agreed on behalf of DFF to submit certain reports to DDCF for each year during which any grant funds remained unspent and a final report for the year in which all of the grant funds were spent. Since all of the grant funds were spent during 2013 the year in which they were granted, this is both a first and final report.

Name and address of grantee:  
Duke Farms Foundation  
1112 Dukes Parkway West  
Hillsborough, NJ 08844

Purpose of Grants:

To be used for DFF's general operating expenses. Property owned by DFF is used for a charitable purpose since DFF is a regional center for environmental stewardship. DFF provides educational programs to visitors as well as serving as a critical habitat for protecting endangered species of all kinds, both flora and fauna.

The following table contains the date of payment of each part of the grant that was spent in 2013 and a description of how the grant was spent by DFF:

<u>Date of Payment</u>	<u>Amount of Grant</u>	<u>Purpose for which Grant was Used</u>
1/31/13	(\$879,653)	Employee Related Expenses; General Admin Expenses; Program Related Expenses; General Operating Expenses; Capital Expenditures.
2/28/13	\$499,167	"
3/31/13	\$1,464,468	"
4/30/13	\$735,269	"
5/31/13	\$832,829	"
6/30/13	\$1,485,298	"
7/31/13	\$1,407,774	"
8/31/13	\$685,379	"
9/30/13	\$671,327	"
10/31/13	\$966,433	"
11/30/13	\$436,240	"
12/31/13	\$1,101,894	"

All of the grant funds have been spent for DFF's operating expenses, and no portion of the grant funds has been diverted from such purpose.

In addition, in the letter dated October 08, 2014, I represented that before the end of 2013, DFF would make a qualifying distribution out of corpus as defined in Section 4942 of the Internal Revenue Code, in the amount of \$9,406,425 and that I would provide DDCF with adequate records or other sufficient evidence to demonstrate that this distribution has been made. As described above, all of the grant funds were spent for reasonable and necessary administration expenses to accomplish DFF's charitable purposes, which are qualifying distributions. Therefore, a qualifying distribution was made of the entire value of the grants in 2013.

Since DFF has otherwise made qualifying distributions equal to the amount of its minimum investment return, this distribution would be treated as a distribution out of corpus if DFF were not a private operating foundation.

Very truly yours,  
Duke Farms Foundation

By:   
Peter Simmons, Chief Operating Officer

October 08, 2014



Mr. Peter Simmons  
Chief Operating Officer  
Duke Farms Foundation  
1112 Dukes Parkway West  
Hillsborough, New Jersey 08844

Dear Mr. Simmons:

The Doris Duke Charitable Foundation has made grants to Duke Farms Foundation in 2013 totaling \$9,406,425 to be used for Duke Farms Foundation's general operating expenses (referred to collectively as the "Grant"). Because Duke Farms Foundation is a private foundation, rather than a publicly supported charity, this Grant is subject to the "expenditure responsibility" requirements contained in the Treasury regulations. Under these regulations, the Doris Duke Charitable Foundation is required to obtain certain written commitments from Duke Farms Foundation before making payment of the Grant funds. By signing this letter, you agree on behalf of Duke Farms Foundation to the following specific obligations with respect to this Grant:

- (1) To repay any portion of the amount granted as well as income earned thereon which is not used for the purposes of the Grant stated above;
- (2) From the time the Grant is made or any portion of the Grant is received until it is fully expended or otherwise terminated, to submit a full and complete annual narrative and financial reports and a final report upon completion of the grant period, attested by the responsible financial officer of your organization or a certified public accountant, within a reasonable period of time after the close of your annual accounting period on the manner in which the Grant and income earned thereon are spent, compliance with the terms of the Grant, what was accomplished by the expenditure of funds (including a description of the progress made in accomplishing the purposes of the Grant);
- (3) To report the Grant separately on your books of account and to charge expenditures made in furtherance of the Grant purposes against the Grant.
- (4) To maintain written records of receipts and expenditures adequate to enable the use of the Grant funds to be checked readily and to make your books, records and other information available for the Doris Duke Charitable Foundation's inspection at reasonable times, which we believe necessary to keep us fully apprised of the status or use of the Grant or income arising therefrom, including any information regarding the ultimate effect of the Grant, whether or not required under the terms of section 4945 of the Internal Revenue code of 1986, as amended (the "Code");

- (5) To keep these records of receipts and expenditures and copies of reports submitted to the Doris Duke Charitable Foundation for at least four years after completion of the use of the Grant funds; and
- (6) Not to use any of the Grant or income arising therefrom,
  - a. To carry on propaganda, or otherwise attempt to influence legislation (within the meaning of section 4945(d)(1) of the Code),
  - b. To influence the outcome of any specific public election, or to carry on, directly or indirectly, any voter registration drive (within the meaning of section 4945(d)(2) of the Code),
  - c. To make any grant which does not comply with the individual grant requirements of section 4945(d)(3) of the Code or the organization grant requirements of section 4945(d)(4) of the Code, or
  - d. To undertake any activity for any purpose other than one that is charitable, scientific, literary, educational or for the prevention of cruelty to animals, or as defined in section 170(c)(2)(B) of the Code.

In the event that you violate the terms of this letter agreement by using any portion of this Grant or any income thereon for purposes other than the purpose of the Grant as previously set forth in this letter, you agree that you will refund to the Doris Duke Charitable Foundation the full amount of the Grant and pay over to the Doris Duke Charitable Foundation any additional amount which may be necessary to effect a correction under section 4945 of the Code.

The foregoing conditions are intended to comply with obligations under United States law to make reasonable efforts and establish adequate procedures to see that grant funds are spent solely for the purposes for which they are granted, and to obtain full and complete records on how grant funds have been expended. Changes in United States laws, or in regulations interpreting them, may require the Doris Duke Charitable Foundation to ask that more detailed reports be submitted or that other steps be taken. The Doris Duke Charitable Foundation will promptly inform you of any such changes, and by signing this letter you indicate your agreement to provide such additional information and comply with such requests.

Duke Farms Foundation also agrees that no later than the end of its first taxable year after the taxable year in which it receives the Grant, it will make a qualifying distribution out of corpus, as defined in section 4942 of the Code, equal to the value of the Grant, and, within such time period, Duke Farms Foundation agrees to provide adequate records or other sufficient evidence to the Doris Duke Charitable Foundation to demonstrate that this distribution has been made. Such records or evidence will state that the qualifying distribution has been made and will specify (1) the names and addresses of the recipients of any such qualifying distribution and the amounts paid to each, (ii) the details

Mr. Peter Simmons

Page 3

October 08, 2014

concerning the payment of any operating expenses which are a part of such qualifying distribution and (iii) the details concerning any operating expenses paid during any of the preceding five years which Duke Farms Foundation elects pursuant to Treas. Reg. 53.4942(A) 3(c)(2)(iv) to treat as a current distribution of corpus in order to make such qualifying distribution. Such records or evidence will also state that the qualifying distribution would be treated as a distribution of corpus under section 4942 of the Code if Duke Farms Foundation were not an operating foundation.

If this letter and its attachment correctly set forth your understanding of the arrangements made regarding this Grant, please countersign the letter and return it to the Doris Duke Charitable Foundation.

Very truly yours,

The Doris Duke Charitable Foundation

By: Edward P. Henry  
Edward P. Henry, President

Agreed to and accepted on behalf of  
Duke Farms Foundation this 15<sup>th</sup>  
day of October, 2014

By: Peter Simmons  
Peter Simmons, Chief Operating Officer



September 19, 2014

Ms. Amy Winsor  
Director of Finance  
Newport Restoration Foundation  
51 Touro Street  
Newport, Rhode Island 02840

Dear Ms. Winsor:

The Doris Duke Charitable Foundation has made grants to the Newport Restoration Foundation in 2013 totaling \$2,420,000 to be used for Rough Point's general operating expenses (referred to collectively as the "Grant"). Because the Newport Restoration Foundation is a private foundation, rather than a publicly supported charity, this Grant is subject to the "expenditure responsibility" requirements contained in the Treasury regulations. Under these regulations, the Doris Duke Charitable Foundation is required to obtain certain written commitments from the Newport Restoration Foundation before making payment of the Grant funds. By signing this letter, you agree on behalf of the Newport Restoration Foundation to the following specific obligations with respect to this Grant:

- (1) To repay any portion of the amount granted as well as income earned thereon which is not used for the purposes of the Grant stated above;
- (2) From the time the Grant is made or any portion of the Grant is received until it is fully expended or otherwise terminated, to submit a full and complete annual narrative and financial reports and a final report upon completion of the grant period, attested by the responsible financial officer of your organization or a certified public accountant, within a reasonable period of time after the close of your annual accounting period on the manner in which the Grant and income earned thereon are spent, compliance with the terms of the Grant, what was accomplished by the expenditure of funds (including a description of the progress made in accomplishing the purposes of the Grant);
- (3) To report the Grant separately on your books of account and to charge expenditures made in furtherance of the Grant purposes against the Grant.
- (4) To maintain written records of receipts and expenditures adequate to enable the use of the Grant funds to be checked readily and to make your books, records and other information available for the Doris Duke Charitable Foundation's inspection at reasonable times, which we believe necessary to keep us fully apprised of the status or use of the Grant or income arising there from, including any information regarding the ultimate effect of the Grant, whether or not required under the terms of section 4945 of the Internal Revenue code of 1986, as amended (the "Code");



- (5) To keep these records of receipts and expenditures and copies of reports submitted to the Doris Duke Charitable Foundation for at least four years after completion of the use of the Grant funds; and
- (6) Not to use any of the Grant or income arising there from,
  - (a) To carry on propaganda, or otherwise attempt to influence legislation (within the meaning of section 4945(d)(1) of the Code),
  - (b) To influence the outcome of any specific public election, or to carry on, directly or indirectly, any voter registration drive (within the meaning of section 4945(d)(2) of the Code),
  - (c) To make any grant which does not comply with the individual grant requirements of section 4945(d)(3) of the Code or the organization grant requirements of section 4945(d)(4) of the Code, or
  - (d) To undertake any activity for any purpose other than one that is charitable, scientific, literary, educational or for the prevention of cruelty to animals, or as defined in section 170(c)(2)(B) of the Code.

In the event that you violate the terms of this letter agreement by using any portion of this Grant or any income thereon for purposes other than the purpose of the Grant as previously set forth in this letter, you agree that you will refund to the Doris Duke Charitable Foundation the full amount of the Grant and pay over to the Doris Duke Charitable Foundation any additional amount which may be necessary to effect a correction under section 4945 of the Code.

The foregoing conditions are intended to comply with obligations under United States law to make reasonable efforts and establish adequate procedures to see that grant funds are spent solely for the purposes for which they are granted, and to obtain full and complete records on how grant funds have been expended. Changes in United States laws, or in regulations interpreting them, may require the Doris Duke Charitable Foundation to ask that more detailed reports be submitted or that other steps be taken. The Doris Duke Charitable Foundation will promptly inform you of any such changes, and by signing this letter you indicate your agreement to provide such additional information and comply with such requests.

The Newport Restoration Foundation also agrees that no later than the end of its first taxable year after the taxable year in which it receives the Grant, it will make a qualifying distribution out of corpus, as defined in section 4942 of the Code, equal to the value of the Grant, and, within such time period, the Newport Restoration Foundation agrees to provide adequate records or other sufficient evidence to the Doris Duke Charitable Foundation to demonstrate that this distribution has been made. Such records or evidence will state that the qualifying distribution has been made and will specify (1) the names and addresses of the recipients of any such qualifying distribution and the amounts paid to each, (ii) the details concerning the payment of any operating expenses

Ms. Amy Winsor  
Page 3  
September 19, 2014

which are a part of such qualifying distribution and (iii) the details concerning any operating expenses paid during any of the preceding five years, which the Newport Restoration Foundation elects pursuant to Treas. Reg. 53.4942(A)-3(c)(2)(iv) to treat as a current distribution of corpus in order to make such qualifying distribution. Such records or evidence will also state that the qualifying distribution would be treated as a distribution of corpus under section 4942 of the Code if the Newport Restoration Foundation were not an operating foundation.

If this letter and its attachment correctly set forth your understanding of the arrangements made regarding this Grant, please countersign the letter and return it to the Doris Duke Charitable Foundation.

Very truly yours,

The Doris Duke Charitable Foundation

By: Edward P. Henry  
Edward P. Henry, President

Agreed to and accepted on behalf of the  
Newport Restoration Foundation this  
day of September, 2014

23rd

By: Amy Winsor  
Amy Winsor, Director of Finance

NEWPORT RESTORATION FOUNDATION

Founded by Doris Duke, 1968



51 TOURO STREET

NEWPORT, RHODE ISLAND 02840-2932

Telephone 401.849.7300

Facsimile 401.849.0125

[www.newportrestoration.org](http://www.newportrestoration.org)

September 25, 2014

Mr. Edward P. Henry  
President  
Doris Duke Charitable Foundation  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, New York 10019

Dear Mr. Henry:

In 2013, the Doris Duke Charitable Foundation ("DDCF") made grants totaling \$2,420,000 to the Newport Restoration Foundation ("NRF") in support of Rough Point. By a letter dated September 19, 2014, I agreed on behalf of NRF to submit certain reports to DDCF for each year during which any grant funds remained unspent and a final report for the year in which all of the grant funds were spent. This is a report covering the portion of the grant funds spent in 2013.

**Name and address of grantee:**

Newport Restoration Foundation  
51 Touro Street  
Newport, Rhode Island 02840

**Purpose of Grants:**

To be used for Rough Point's general operating expenses. The Rough Point Property owned by NRF is used for a charitable purpose since it is a historic house, which is open to the public.

**The following table contains the date of payment of each grant, the amount of the grant, and a description of how the grant was spent by NRF:**

<u>Date of Payment</u>	<u>Amount of Grant</u>	<u>Purpose for which Grant was Used</u>
01/11/13	\$582,500	Employee Related Expenses; General Operating Expenses; General Administrative Expenses and Capital Expenses
03/08/13	\$671,875	" "
06/13/13	\$671,875	" "
09/06/13	\$268,750	" "
10/18/13	\$225,000	" "

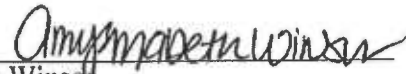
All of the grant funds have been spent for Rough Point's general operating expenses, and no portion of the grant funds has been diverted from such purpose.

Mr. Edward P. Henry  
Page 2  
September 25, 2014

In addition, in the letter dated September 19, 2014, I represented that before the end of 2013 NRF would make a qualifying distribution out of corpus as defined in Section 4942 of the Internal Revenue Code, in the amount of \$2,420,000 and that I would provide DDCF with adequate records or other sufficient evidence to demonstrate that this distribution has been made.

As described above, \$2,322,457 of the grant funds were spent for reasonable and necessary administration expenses to accomplish NRF's charitable purposes, which are qualifying distributions, and \$97,543 will be spent in 2014. Therefore, a qualifying distribution was made of \$2,322,457 of the grant funds in 2013. Since NRF has otherwise made qualifying distributions equal to the amount of its minimum investment return, this distribution would be treated as a distribution out of corpus if NRF were not a private operating foundation. NRF will make a qualifying distribution out of corpus of the balance of the grant funds in 2014.

Very truly yours,  
Newport Restoration Foundation

By:   
Amy Winsor  
Director of Finance

**Doris Duke Charitable Foundation**  
**GRANT AGREEMENT**  
**(Expenditure Responsibility)**

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This Grant Agreement sets forth the terms of the 1-year \$100,000 grant (the "Grant") by the Doris Duke Charitable Foundation ("DDCF") to International Network for Cancer Treatment and Research USA ("GRANTEE") to cover the period January 1, 2013 through December 31, 2013. References to the "Grant Agreement" shall include this Agreement as well as the proposal and budget submitted December 13, 2012 ("the Grant Documentation"). The purpose of the Grant is to support the African Cancer Registry Network (AFCRN).

The Grant, which will be considered approved only after final execution of this document, is made subject to the following terms and conditions:

**Program and Administrative Requirements**

1. The Grant is to be used by GRANTEE in accordance with the Grant Agreement and may not be used for any other purpose or program of GRANTEE without the prior written approval of DDCF.
2. DDCF, through its designated program director, must be consulted in advance in the event that any aspect of the program is changed or redesigned.
3. GRANTEE shall ensure that the terms and conditions of all sub-agreements to support work with funds from this Grant (e.g., memoranda of understanding, major subcontract, re-granting agreements, etc.) are in accordance with the terms of this Grant Agreement. GRANTEE further agrees to provide DDCF with copies of such sub-agreements should DDCF request them for its monitoring purposes. Advance notice of all major meetings, seminars and workshops relating to this project must be provided to DDCF.
4. GRANTEE agrees that not later than the end of its first taxable year after the taxable year in which it receives the DDCF grant payment, it will make a qualifying distribution out of corpus, as defined in section 4942 of the Internal Revenue Code (IRC), equal to the value of the Grant, and within such time period the GRANTEE agrees to provide adequate records or other sufficient evidence to DDCF to demonstrate that this distribution has been made. Such records or evidence will also state that the qualifying distribution was a distribution out of corpus under section 4942 of the IRC.
5. No funds may be used to:
  - a) Carry on propaganda, or otherwise attempt to influence legislation (as defined by Section 4945 of the IRC);
  - b) influence the outcome of any specific public election, or carry on, directly or indirectly, any voter registration drive (as defined in IRC Section 4945);
  - c) make an individual grant or re-grant funds to another organization unless the requirements of IRC 4945 are met; or
  - d) advance a purpose that is not specified in Section 170(c)(2)(B) of the Internal Revenue Code.

### Tax Exempt Status

1. DDCF is making the Grant in reliance on the determination by the Internal Revenue Service that GRANTEE is an organization described in section 501(c)(3) of the Internal Revenue Code of 1986, as amended (the "Code") and that it is a private foundation. Accordingly, GRANTEE certifies that there are no issues presently pending before any office of the Internal Revenue Service that could result in any change to the tax status determination and agrees to notify DDCF immediately in writing of any changes to its tax-exempt status or its status as a publicly supported organization.

### Payment and Expenditure of Grant Funds

An ACH transfer for the full amount of the Grant will be made to GRANTEE's bank upon receipt by DDCF of the Grant Agreement signed by a duly authorized representative of GRANTEE.

All interest income earned on the investment of the Grant from the time of the award to expenditure is to be used for the purposes described in the Grant Documentation.

These grant funds are restricted to the uses as described above and are to be used as represented in the approved budget included in the Grant Documentation. These grant monies are not to be used in any other way or for any other purposes without the prior written approval of DDCF. Budget revisions of 10% or more of the total approved budget for the Grant and/or any significant changes in the original program plan must be reported and approved in writing in advance by DDCF.

### Reporting and Record Keeping Requirements

1. GRANTEE shall submit to DDCF full and complete annual written reports on: (a) the use of the grant funds, (b) compliance with the terms of the grant, and (c) the progress made by the GRANTEE toward achieving the purposes for which the Grant was made. Annual reports must be provided for the year of receipt of the Grant, and for all subsequent years until the grant funds are expended in full or the grant is otherwise terminated.
2. A final report on the Grant, containing the following components, will be due to DDCF on February 1, 2014:
  - a. narrative and description of accomplishments, challenges and future plans of the funded project;
  - b. copies of representative materials, brochures, reports, and other materials relating to the project, as well as representative media coverage, if any;
  - c. GRANTEE's most recent audited financial statement, if available, or the most recent 990PF tax return, in lieu of an audited financial statement; and
  - d. separate accounting for the project funding. The accounting should include a detailed comparison of actual expenses to the approved line-item budget. Include an explanation for any overages and/or unspent funds and any revised budget and budget narrative for the following year, where appropriate. Please note: if the approved budget indirect costs as a percent of direct program costs, the indirect rate should be applied to actual expenditures during each period covered by the report.
3. The GRANTEE is expected to maintain complete books and records of revenues and expenditures relating to the Grant, together with appropriate supporting documentation. These books and records are to be made available for inspection at reasonable times if deemed necessary by DDCF. DDCF, at its expense, may audit or have audited the records of the GRANTEE insofar as they relate to the disposition of the funds granted by DDCF, and the GRANTEE shall provide all necessary assistance in connection therewith. Records on the Grant must be kept for at least four (4) years after completion of the Grant.

4. One copy of the report should be submitted to DDCF's Director of Grants Management within a reasonable period of time after the close of the Grantee's annual accounting period. Please include your grant number (#2013008) on the cover page of the report.

#### Publicity and Acknowledgment

Acknowledgment for the Grant should include:

1. A general acknowledgment of DDCF among GRANTEE's list of annual funders in all appropriate programs, publications and public announcements for the grant period.
2. Use of the complete Foundation name, "Doris Duke Charitable Foundation," in any public documents pertaining to the Grant. Prominence of acknowledgment should be commensurate with level of funding relative to other funding sources.
3. DDCF reserves the right to include information relating to the Grant in DDCF's periodic reports, newsletters or news releases or in any other materials issued by or on behalf of DDCF.

#### Public Announcement

1. DDCF reserves the right to announce the Grant publicly in a manner and at a time of its choosing.
2. DDCF will work with the GRANTEE to design a strategy for announcing the Grant and develop a press release, which must conform to the following guidelines:
  - a. DDCF should be named in the first paragraph, and provision should be made in the release for a quote from a senior representative of DDCF.
  - b. The following description of the DDCF should be included in the announcement:

"The mission of the Doris Duke Charitable Foundation is to improve the quality of people's lives through grants supporting the performing arts, environmental conservation, medical research and the prevention of child abuse, and through preservation of the cultural and environmental legacy of Doris Duke's properties."
3. The final version of the news release or any other form of announcement, and its release date, must be reviewed and approved by DDCF before the Grant is made public in any way.

#### Conditions Necessitating a Refund to DDCF

If any of the following circumstances occur, DDCF may, at its discretion, in addition to other remedies available to it, require that GRANTEE repay, upon 30-days written notice, the full amount of the Grant funds which were unspent, inappropriately spent, or reversibly committed as of the date of the occurrence, and DDCF shall have no further obligation to distribute any unpaid portion of the Grant to GRANTEE:

1. The purpose of the Grant has been fully completed or the period of time indicated in the Grant Agreement for the completion of the purpose of the Grant has expired (without being extended with the consent of DDCF).
2. GRANTEE is no longer exempt from federal taxation as an organization described in Section 501(c)(3) of the Internal Revenue Code. GRANTEE agrees to notify DDCF immediately upon the occurrence of this circumstance.
3. If, in DDCF's judgment, GRANTEE, for any reason, becomes unable to carry out the purpose of the Grant stated in the Grant Agreement, or otherwise violates the terms of the Grant Agreement.
4. DDCF conveys to GRANTEE in writing any concerns about the stability of GRANTEE's operations or organization or its compliance with the terms of this Grant Agreement and the concerns are not addressed to DDCF's satisfaction at the end of a reasonable amount of time after notice.

No Assignment or Delegation

GRANTEE may not assign or otherwise transfer any of its rights or delegate any of its obligations under the Grant Agreement or with respect to the Grant.

Acceptance by the Doris Duke Charitable Foundation:

By: Edward P. Henry  
Edward P. Henry, President

Accepted and agreed this 12 day of February 2013.

International Network for Cancer Treatment and Research USA

By: Aziza Shah  
Printed Name: AZIZA SHAH  
Title: President



Adrienne A. Fisher  
Director of Grants Management  
Doris Duke Charitable Foundation  
650 Fifth Avenue, 19<sup>th</sup> Floor  
New York, NY 10019

14<sup>th</sup> October 2014

Re: Doris Duke Charitable Foundation Grant No. 2013008

Dear Ms. Fisher,

In 2013, the Doris Duke Charitable Foundation (DDCF) made a grant to International Network for Cancer Treatment and Research, USA ("INCTR-USA") totaling \$100,000 (the "Grant").

By grant agreement dated February 12, 2013 (the "Grant Agreement"), INCTR-USA agreed to submit an expenditure responsibility report (as required by Treas. Reg. §53.4945-5(c)) to DDCF for each year during which any Grant funds remained unspent and a final report for the year in which all of the Grant funds were spent. In addition, the Grant Agreement, INCTR-USA represented that before the end of 2013, INCTR-USA would make a qualifying distribution out of corpus as defined in IRC §4942, equal to the value of the Grant, and that INCTR-USA would provide DDCF with adequate records or sufficient other evidence to demonstrate that this distribution has been made.

**Name and address of grantee:**

International Network for Cancer Treatment and Research, USA  
INCTR USA, 1 Research Court  
Suite 200, Rockville, MD 20850

**Purpose of Grant:** To support the African Cancer Registry Network (AFCRN) which is working to improve the effectiveness of cancer surveillance in sub Saharan Africa by providing expert evaluation of current problems and technical support to remedy identified barriers, with long-term goals of strengthening health systems and creating research platforms for the identification of problems, priorities, and targets for intervention.

**Use of Qualifying Distribution Grant funds by AFCRN:**

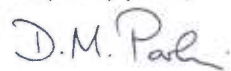
In 2013, INCTR USA the leadership of INCTR was changed, and the current President of INCTR USA did not take over until July 2013. Because of the change of responsibility at INCTR (USA), and the time lag involved, the Principle Investigator (PI) of AFCRN has taken responsibility for providing this statement:

This is a report for calendar year 2013. The grant funds were fully expended toward the cancer registration in East Africa project, as described in the narrative and financial reports submitted to DDCF on February 21, 2014.

No portion of the grant funds has been diverted from the approved purpose of the Grant.

This is our final expenditure responsibility report for Grant No. 2013008.

Very truly yours,



Dr. D. Max Parkin  
Co-ordinator, African Cancer Registry Network  
www.afcrn.org

Cc. Mr Raj Shah, President, INCTR USA

Doris Duke Charitable Foundation  
Form 990-PF - Return of Private Foundation  
FYE: 12/31/2013  
Attachment 12

Form 990-PF, Part VIII - List of Officers, Directors and Trustees

Name	Title	Hrs Worked	Comp	Employee Benefits	Expense Accounts
John Zuccotti	Chairperson	132 hours per year	\$ 46,032	NONE	NONE
Anthony S. Fauci	Vice Chairperson	96 hours per year	NONE	NONE	NONE
Kathy Halbreich	Trustee	88 hours per year	\$ 92,064	NONE	NONE
Harry Demopoulos	Trustee	100 hours per year	\$ 92,064	NONE	NONE
Jide Zeitlin	Trustee	108 hours per year	NONE	NONE	NONE
James F. Gill	Trustee	108 hours per year	\$ 92,064	NONE	NONE
Peter A. Nadosy	Trustee	104 hours per year	NONE	NONE	NONE
William H. Schlesinger	Trustee	116 hours per year	\$ 92,064	NONE	NONE
Nannerl O. Keohane	Trustee	116 hours per year	\$ 46,032	NONE	NONE
Angela K. Mwanza	Trustee	96 hours per year	\$ 50,000	NONE	NONE
Nicholas Scoppetta	Trustee	84 hours per year	\$ 50,000	NONE	NONE
Anne Hawley (thru 5/2012)	Trustee	0 hours per year	\$ 46,032 *	NONE	NONE
Edward P. Henry	Chief Executive Officer/President	28 hours per week	NONE	NONE	NONE
Peter Simmons	Chief Operating Officer/Treasurer	12 hours per week	NONE	NONE	NONE
Erica Dziedzic	Secretary/Counsel	12 hours per week	NONE	NONE	NONE
<b>Total Compensation</b>			<u>\$ 606,355</u>	-	-

\* Anne Hawley's payment is for the half year of service in 2012.

All trustees and officers provide services to five related entities (Doris Duke Charitable Foundation, Doris Duke Management Foundation, Duke Farms Foundation, Doris Duke Foundation for Islamic Art, Doris Duke Foundation), and may be reached at the Doris Duke Charitable Foundation's corporate address at 650 Fifth Avenue, 19th Floor, NY, NY, 10019. See Attachment 12(a) Note (1), Note (2) and Note (3) for further information.

**Doris Duke Charitable Foundation**  
**Form 990-PF - Return of Private Foundation**  
**FYE: 12/31/2013**  
**Attachment 12a**

Notes:

(1) Compensation reported for the trustees disclosed on this schedule reflects payment for each individual's board service in 2012. The actual cash payments were made in January of 2013 (and the amounts have been reported on the Form 990-PF in Part I, Line 13 (d)) as part of the Foundation's current year charitable disbursements.

(2) The officers are paid compensation by the Doris Duke Management Foundation (DDMF). The hours shown on the Form 990-PF are based on an allocation of time spent on matters related to the Doris Duke Management Foundation (DDMF) and are for informational purposes only. These officers provide services to other related entities (Doris Duke Foundation (DDF), Doris Duke Management Foundation (DDMF), Duke Farms Foundation (DFF), and Doris Duke Foundation for Islamic Art (DDFIA)) and in the aggregate, hours worked on matters related to these entities equal or exceed 40 hours a week. The allocation of compensation paid by the Doris Duke Management Foundation and allocated to other related entities is based on an annual survey and is included in the management fee shown on Line 23, Part I, Other Expenses.

(3) The trustees who receive compensation are paid by the Doris Duke Charitable Foundation, even though they provide services to each of the five foundations (DDCF, DDMF, DDF, DFF, and DDFIA). The hours reported on Attachment 12 of the Form 990-PF represent an allocation of the trustees' time spent on matters related to DDCF including attendance at Board meetings and various foundation-related events and discussions. These hour allocations are reported to comply with the Form 990-PF reporting requirement, and are for informational purposes only. Trustees have oversight responsibilities and perform multiple tasks across all five foundations; and thus, significant additional hours are reported on the DDMF, DDF, DFF, DDFIA tax returns.

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

<u>NAME AND ADDRESS</u>	<u>TYPE OF SERVICE</u>	<u>COMPENSATION</u>
PACIFIC INVESTMENT MANAGEMENT COMPANY PO BOX 512129 LOS ANGELES, CA 90051	INVESTMENT MGMT FEES	927,267.
THE NORTHERN TRUST COMPANY 50 LASALLE STREET CHICAGO, IL 60675	INVESTMENT CUSTODY	680,117.
WALTER SCOTT & PARTNERS ONE CHARLOTTE SQUARE EH2 4DR EDINBURGH LONDON UNITED KINGDOM	INVESTMENT MGMT FEES	589,546.
SILCHESTER INTERNATIONAL INVESTORS 780 THIRD AVENUE, 42ND FLOOR NEW YORK, NY 10017	INVESTMENT MGMT FEES	297,496.
CAPITAL GUARDIAN TRUST CO. PO BOX 659518 SAN ANTONIO, TX 78265	INVESTMENT MGMT FEES	289,494.
	TOTAL COMPENSATION	<u>2,783,920.</u>

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

ATTACHMENT 14

DESCRIPTION	BUSINESS CODE	AMOUNT	EXCLUSION CODE	AMOUNT	RELATED OR EXEMPT FUNCTION INCOME
MISCELLANEOUS INCOME			01	352.	
TOTALS				352.	

Doris Duke Charitable Foundation  
 Form 990-PF - Return of Private Foundation  
 FYE: 12/31/2013  
 Attachment 15

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	GRANTS PAID
PROGRAM GRANTS	No Relationship	61,615,591
NEWPORT RESTORATION FOUNDATION(NRF)	No Relationship	2,420,000
DUKE FARMS FOUNDATION	Related Entity	9,406,425
DORIS DUKE FOUNDATION FOR ISLAMIC ART	Related Entity	5,975,087
DONATIONS TO DUKE UNIVERSITY	No Relationship	21,600
Less DDF Pass Through Artist Recipient Grants	Related Entity	(2,821,676)
Less DDFIA Pass Through Qualifying Distributions	Related Entity	(1,536,304)
<b>TOTAL</b>		<b><u>75,080,723</u></b>

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

SUMMARY BY PROGRAM AREA Recipient and/or Purpose	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
TOTAL ARTS	5,749,847	24,218,141	90,370	13,235,718
TOTAL ENVIRONMENT/CLIMATE CHANGE	9,034,900	17,565,523	-	14,740,523
TOTAL MEDICAL RESEARCH	11,421,000	14,294,000	100,000	13,101,745
TOTAL CHILD WELL-BEING	6,437,130	7,323,750	-	5,143,024
TOTAL PHILANTHROPIC SECTOR/OTHER	-	713,614	-	713,614
TOTAL CROSS PROGRAM GRANTS	-	477,051	-	477,051
TOTAL AFRICAN HEALTH INITIATIVE	12,506,681	869,700	3,875,000	10,062,082
TOTAL ARTS INITIATIVE	4,836,500	15,946,222	-	4,141,835
<b>GRAND TOTAL</b>	<b>49,986,058</b>	<b>81,408,001</b>	<b>4,065,370</b>	<b>61,615,591</b>

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<b>AFRICAN HEALTH INITIATIVE</b>					
<b>Brigham and Women's Hospital Inc</b> 75 Francis Street Boston, MA 02115 <i>Strengthening and Studying Community-Based Integrated Primary Health Care Systems in Rural Rwanda</i> \$8,505,000 2009	PC	\$2,422,584	\$0	\$0	\$1,619,836
<b>Brigham and Women's Hospital Inc</b> 75 Francis Street Boston, MA 02115 <i>To support improving health research analysis techniques and scientific writing capacity among PHIT team members in rural Rwanda</i> \$15,000 2013	PC	\$0	\$15,000	\$0	\$15,000
<b>Trustees of Columbia Univ in City of New York</b> 630 West 168th Street New York, NY 10032 <i>Accelerating Millennium Development Goal Progress by Exchanging Health System Innovations between Tanzania and Ghana</i> \$17,089,400 2009	PC	\$3,261,117	\$0	\$1,000,000	\$3,261,117
<b>Trustees of Columbia Univ in City of New York</b> 630 West 168th Street New York, NY 10032 <i>To support improving health research analysis techniques and scientific writing capacity among PHIT team members in Ghana</i> \$15,000 2013	PC	\$0	\$15,000	\$0	\$15,000



## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
Trustees of Columbia Univ in City of New York 630 West 168th Street New York, NY 10032 <i>To support improving health research analysis techniques and scientific writing capacity among PHIT team members in Tanzania</i>	PC	\$0	\$15,000	\$0	\$15,000
\$15,000 2013					
<b>Council on Health Research For Development USA</b> 1072 Thomas Jefferson Washington DC, DC 20007 <i>To support the fair research contracting initiative</i>	PC	\$0	\$100,000	\$0	\$100,000
\$100,000 2013					
<b>Health Alliance International</b> 1107 NE 45th St Ste 350 Seattle, WA 98105 <i>Strengthening Integrated Primary Health Care and Workforce Training in Sofala Province, Mozambique</i>	PC	\$3,990,420	\$0	\$1,375,000	\$2,100,825
\$11,880,000 2009					
<b>Health Alliance International</b> 1107 NE 45th St Ste 350 Seattle, WA 98105 <i>To support improving health research analysis techniques and scientific writing capacity among PHIT team members in Sofala, Mozambique</i>	PC	\$0	\$15,000	\$0	\$15,000
\$15,000 2013					
<b>National Academy of Sciences</b> 500 Fifth St., NW Washington, DC 20001	PC	\$0	\$50,000	\$0	\$50,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>To support a workshop on Lessons Learned in the Conduct of Large Scale, Complex, Multinational Global Health Program evaluations</i>					
\$50,000 2013					
<b>University of Cape Town Fund, Inc.</b> 132 East 43rd St New York, NY 10017	SO I	\$0	\$644,700	\$0	\$250,000
<i>To support Implementation of large-scale health system strengthening interventions</i>					
\$644,700 2013					
<b>University of North Carolina at Chapel Hill</b> 104 Airport Drive, Ste 2200, Campus Box 1350 Chapel Hill, NC 27599	PC	\$2,832,560	\$0	\$1,500,000	\$2,605,304
<i>Clinical Mentoring and Community Engagement to Improve Millennium Development Goals Health Outcomes in Lusaka Province of Zambia</i>					
\$12,837,300 2009					
<b>University of North Carolina at Chapel Hill</b> 104 Airport Drive, Ste 2200, Campus Box 1350 Chapel Hill, NC 27599	PC	\$0	\$15,000	\$0	\$15,000
<i>To support improving health research analysis techniques and scientific writing capacity among PHIT team members in Zambia</i>					
\$15,000 2013					
<b>TOTAL African Health</b>		<b>\$12,506,681</b>	<b>\$869,700</b>	<b>\$3,875,000</b>	<b>\$10,062,082</b>

**ARTS**

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<b>3-legged Dog Media and Theater Group</b> 80 Greenwich Street New York, NY 11218 <i>To support the expansion of Project Finch to performance artists and presenters</i> \$50,000	PC	\$0	\$50,000	\$0	\$50,000
<b>American Composers Orchestra Inc</b> 244 W 54 St Ste 805 New York, NY 10019 <i>To support the planning and feasibility study for future Jazz Composers Orchestra Institutes, in collaboration with the Center for Jazz Studies at Columbia University and the Herb Alpert School of Music at UCLA</i> \$10,000	PC	\$0	\$10,000	\$0	\$10,000
<b>American Repertory Theatre Company, Inc.</b> 64 Brattle Street Cambridge, MA 02138 <i>Adaptive Change Capacity Initiative</i> \$1,000,000	PC	\$0	\$1,000,000	\$0	\$50,000
<b>Arts Midwest</b> 2908 Hennepin Ave, Suite 200 Minneapolis, MN 55408 <i>To support a public will building effort that will connect the arts to the closely held American values resulting in an increase in support for, appreciation of, and access to the arts.</i> \$152,576	PC	\$73,740	\$0	\$0	\$0
<b>Association of Performing Arts Presenters, Inc</b> 1211 Connecticut Avenue, NW, Suite 200 Washington, DC 20036	PC	\$1,144,402	\$0	\$0	\$1,144,402

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>To support the "Building Bridges: Campus Community Engagement re-granting Program,"</i>					
\$1,280,000.00					
2012					
<b>Association of Performing Arts Presenters, Inc</b>	PC	\$0	\$360,500	\$0	\$360,500
1211 Connecticut Avenue, NW, Suite 200 Washington, DC 20036					
<i>Core Support for National Organizations</i>					
\$360,500					
2013					
<b>California Institute of the Arts</b>	PC	\$6,000	\$0	\$0	\$6,000
24700 McBean Pkwy Valencia, CA 91355					
<i>To support the National Interdisciplinary Initiative at the RADAR LA Festival, Fall 2013</i>					
\$174,375					
2011					
<b>Chamber Music America</b>	PC	\$0	\$2,555,000	\$90,370	\$2,555,000
99 Madison Ave, 5th Fl New York, NY 10016					
<i>To support four rounds of the Doris Duke Jazz Ensembles Project</i>					
\$2,645,370					
2013					
<b>Chamber Music America</b>	PC	\$0	\$150,000	\$0	\$150,000
99 Madison Ave, 5th Fl New York, NY 10016					
<i>Core Support for National Organizations</i>					
\$150,000					
2013					
<b>Chamber Music America</b>	PC	\$0	\$67,500	\$0	\$42,070
99 Madison Ave, 5th Fl New York, NY 10016					
<i>Research to alleviate administrative burdens faced by jazz</i>					

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>musicians and presenters nationwide</i>					
\$67,500 2013					
<b>Chamber Music America</b> 99 Madison Ave, 5th Fl New York, NY 10016 <i>To support an evaluation of CMA's jazz grant programs</i>	PC	\$0	\$25,000	\$0	\$25,000
\$25,000 2013					
<b>Childsplay, Inc.</b> 900 S. Mitchell Dr Tempe, AZ 85281 <i>To support New Plays for Young Audiences Symposia</i>	PC	\$50,000	\$0	\$0	\$0
\$112,500 2011					
<b>Trustees of Columbia Univ in City of New York</b> 630 West 168th Street New York, NY 10032 <i>To support the Jazz Composers Orchestra Institute at the Center for Jazz Studies</i>	PC	\$54,000	\$0	\$0	\$54,000
\$150,000 2011					
<b>Creative Capital Foundation</b> 65 Bleecker Street, 7th Floor New York, NY 10012 <i>To support the Performing Arts re-granting Program</i>	PC	\$470,000	\$0	\$0	\$470,000
\$1,200,000 2011					
<b>Creative Capital Foundation</b> 65 Bleecker Street, 7th Floor New York, NY 10012 <i>To support three rounds of The Multi-Arts Production Fund (MAP Fund)</i>	PC	\$1,191,000	\$0	\$0	\$1,191,000
\$2,630,000					

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
2012					
<b>Creative Capital Foundation</b>	PC	\$0	\$200,000	\$0	\$200,000
65 Bleecker Street, 7th Floor New York, NY 10012					
<i>Core Support for National Organizations</i>					
\$200,000					
2013					
<b>Creative Capital Foundation</b>	PC	\$0	\$1,200,000	\$0	\$0
65 Bleecker Street, 7th Floor New York, NY 10012					
<i>To support grants and advisory services to Performing Artists</i>					
\$1,200,000					
2013					
<b>Creative Capital Foundation</b>	PC	\$0	\$4,085,052	\$0	\$0
65 Bleecker Street, 7th Floor New York, NY 10012					
<i>Supports three rounds of The Multi-Arts Production Fund</i>					
\$4,085,052					
2013					
<b>Creative Capital Foundation</b>	PC	\$0	\$25,000	\$0	\$25,000
65 Bleecker Street, 7th Floor New York, NY 10012					
<i>To support an external review of Multi-Arts Production Fund grants awarded from 2007 to 2013</i>					
\$25,000					
2013					
<b>Creative Capital Foundation</b>	PC	\$0	\$25,000	\$0	\$25,000
65 Bleecker Street, 7th Floor New York, NY 10012					
<i>Evaluation of CCF's past performing arts grantees</i>					
\$25,000					
2013					
<b>Dance USA</b>	PC	\$444,000	\$0	\$0	\$444,000
1111 16th Street, NW, Suite 300					

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
Washington, DC 20036 <i>To support round two of Engaging Dance Audiences</i> \$1,748,000 2011					
<b>Dance USA</b> 1111 16th Street, NW, Suite 300 Washington, DC 20036 <i>Core Support for National Organizations</i> \$200,000 2013	PC	\$0	\$200,000	\$0	\$200,000
<b>Dance USA</b> 1111 16th Street, NW, Suite 300 Washington, DC 20036 <i>To support supplemental evaluation of Engaging Dance Audiences Round Two</i> \$25,000 2013	PC	\$0	\$25,000	\$0	\$25,000
<b>Danspace Project Inc</b> 131 East 10th Street New York, NY 10003 <i>Support for the Institute for Curatorial Practice in Performance to explore digital communications strategies and a future Masters program</i> \$50,000 2013	PC	\$0	\$50,000	\$0	\$50,000
<b>Denver Center For The Performing Arts</b> 1101 13th St. Denver, CO 80204 <i>To support Off-Center -nontraditional programming series</i> \$127,150 2011	PC	\$45,000	\$0	\$0	\$45,000
<b>Denver Center For The Performing Arts</b> 1101 13th St. Denver, CO 80204	PC	\$0	\$10,000	\$0	\$10,000

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>To fully realize Off-Center's role at DCTC</i>					
\$10,000 2013					
<b>Emc Arts Inc</b> 127 West 122nd Street New York, NY 10027	PC	\$544,785	\$0	\$0	\$544,785
<i>To support for the Innovation Lab for Performing Arts</i>					
\$1,600,000 2012					
<b>Emc Arts Inc</b> 127 West 122nd Street New York, NY 10027	PC	\$76,401	\$0	\$0	\$76,401
<i>Support for Innovation Summit about adaptive change</i>					
\$158,081 2012					
<b>Emc Arts Inc</b> 127 West 122nd Street New York, NY 10027	PC	\$0	\$186,581	\$0	\$82,925
<i>To support "Arts Leaders as Cultural Innovators" accelerating adaptive change in the arts sector</i>					
\$186,581 2013					
<b>Emerson College</b> 120 Boylston St Boston, MA 02116	PC	\$32,602	\$0	\$0	\$32,602
<i>To support a national convening of Latina/o theater artists to establish a Latina/o Theater Commons</i>					
\$67,553 2012					
<b>Emerson College</b> 120 Boylston St Boston, MA 02116	PC	\$0	\$163,520	\$0	\$163,520
<i>Core Support for the Center for the Theater Commons</i>					
\$163,520					



**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
2013					
<b>Fractured Atlas Productions Inc</b>					
248 W 35th St FL 10	PC	\$0	\$168,750	\$0	\$75,000
New York, NY 10001					
<i>To support and further develop Artful.ly (a free ticketing a donor management software)</i>					
\$168,750					
2013					
<b>Fractured Atlas Productions Inc</b>					
248 W 35th St FL 10	PC	\$0	\$225,000	\$0	\$102,355
New York, NY 10001					
<i>To support American Dance Abroad projects to expand opportunities for American dance artists and companies</i>					
\$225,000					
2013					
<b>Fractured Atlas Productions Inc</b>					
248 W 35th St FL 10	PC	\$0	\$328,000	\$0	\$328,000
New York, NY 10001					
<i>Core Support for National Organizations</i>					
\$328,000					
2013					
<b>Future of Music Coalition Inc</b>					
1615 L Street NW	PC	\$84,494	\$0	\$0	\$29,037
Washington, DC 20036-5610					
<i>To support a 2-year curriculum development project to educate jazz musicians about music careers &amp; artist income</i>					
\$174,494					
2012					
<b>Gina Gibney Dance Inc</b>					
890 Broadway, Fifth Floor	PC	\$0	\$60,000	\$0	\$60,000
New York, NY 10003					
<i>Phase I of expansion and development of a new training and performance space at 280 Broadway, NYC</i>					
\$60,000					

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
2013 <b>Grantmakers in the Arts</b> 4055 21st Ave W, Suite 100 Seattle, WA 98199 <i>To support the Information and Communication Initiative</i> \$40,000	PC	\$0	\$40,000	\$0	\$40,000
2013 <b>Jazz Arts Group Of Columbus</b> 769 E Long St Columbus, OH 43203 <i>To support the launch and evaluation of targeted theory-to-practice experiments based on the Jazz Audiences Initiative research findings</i> \$152,350	PC	\$54,000	\$0	\$0	\$54,000
2011 <b>Jazz Arts Group Of Columbus</b> 769 E Long St Columbus, OH 43203 <i>To support a convening with Jazz Audiences Initiative Theory-to-Practice experiment partner organizations and invited thought leaders</i> \$10,000	PC	\$0	\$10,000	\$0	\$10,000
2013 <b>L A Stage Alliance</b> 644 S Figueroa St Los Angeles, CA 90017-3411 <i>To support national and localized research on arts participation through a network of newly established regional community databases</i> \$225,154	PC	\$108,817	\$0	\$0	\$108,817
2012 <b>Latino Theater Company</b> 514 S Spring St Los Angeles, CA 90013	PC	\$0	\$225,000	\$0	\$125,000

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>To support the launch of a National Latino Theater Encuentro ("Encounter") as part of the Latino Theater Commons</i>					
\$225,000 2013					
<b>Manchester Craftsmens Guild</b> 1815 Metropolitan Street Pittsburgh, PA 15233	PC	\$0	\$27,500	\$0	\$27,500
<i>To support the Jazz Forward Coalition Business Plan</i>					
\$27,500 2013					
<b>Mapp International Productions Inc</b> 140 Second Avenue, Suite 502 New York, NY 10003	PC	\$32,602	\$0	\$0	\$32,602
<i>To support a structural expansion, bringing more US artists and arts organizations into global cultural dialogue with communities on the African continent</i>					
\$67,553 2012					
<b>Mid Atlantic Arts Foundation Inc</b> 201 N. Charles Street, Suite 401 Baltimore, MD 21201	PC	\$0	\$300,000	\$0	\$300,000
<i>Four rounds of the French-American Jazz Exchange</i>					
\$300,000 2013					
<b>Mid Atlantic Arts Foundation Inc</b> 201 N. Charles Street, Suite 401 Baltimore, MD 21201	PC	\$0	\$25,000	\$0	\$25,000
<i>Evaluation of the French-American Jazz Exchange</i>					
\$25,000 2013					
<b>National New Play Network</b> c/o Woolly Mammoth Theatre Company 641 D St NW	PC	\$59,849	\$0	\$0	\$35,082

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
Washington, DC 20004 <i>To support work by a consortium of the field to create an online tool, the New Play Exchange, to revolutionize how playwrights and theaters connect in the nonprofit arena</i>					
\$123,835 2012					
<b>National New Play Network</b> c/o Woolly Mammoth Theatre Company 641 D St NW Washington, DC 20004 <i>Core Support for National Organizations</i>	PC	\$0	\$52,000	\$0	\$52,000
\$52,000 2013					
<b>National Performance Network Inc</b> 866 Camp Street New Orleans, LA 70130 <i>To renew support for NPN's Performing Arts Programs</i>	PC	\$882,000	\$0	\$0	\$882,000
\$1,764,000 2012					
<b>National Performance Network Inc</b> 866 Camp Street New Orleans, LA 70130 <i>Core Support for National Organizations</i>	PC	\$0	\$200,000	\$0	\$200,000
\$200,000 2013					
<b>National Performance Network Inc</b> 866 Camp Street New Orleans, LA 70130 <i>To support NPN's Performing Arts Programs</i>	PC	\$0	\$2,826,720	\$0	\$0
\$2,826,720 2013					
<b>National Performance Network Inc</b> 866 Camp Street New Orleans, LA 70130	PC	\$0	\$25,000	\$0	\$25,000

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>Evaluation of NPN's relationship-based support for artists</i>					
\$25,000 2013					
<b>New England Foundation for the Arts</b> 145 Tremont Street Boston, MA 02111 <i>To support the National Dance Project</i> \$5,184,758 2013	PC	\$0	\$5,184,758	\$0	\$998,634
<b>New England Foundation for the Arts</b> 145 Tremont Street Boston, MA 02111 <i>Evaluation of 20 years of the National Dance Project</i> \$25,000 2013	PC	\$0	\$25,000	\$0	\$25,000
<b>New York City Center Inc.</b> 130 W. 56th Street New York, NY 10019 <i>To support Fall for Dance 10th Anniversary season</i> \$100,000 2013	PC	\$0	\$100,000	\$0	\$100,000
<b>Newport Festivals Foundation, Inc.</b> 150 East 69th Street #27K New York, NY 10021 <i>To support artistic programming and creation of the George Wein/Doris Duke artistic programming reserve fund for the Newport Jazz Festival</i> \$300,000 2013	PC	\$0	\$300,000	\$0	\$10,000
<b>Nonprofit Finance Fund</b> 70 West 36th Street, 11th Floor New York, New York, NY 10018 <i>To support the State of the Arts sector work, expanding research and dialogue about cultural organizations</i>	PC	\$0	\$25,000	\$0	\$25,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
\$25,000 2013					
<b>Nonprofit Finance Fund</b> 70 West 36th Street, 11th Floor New York, New York, NY 10018 <i>Support financial analyses for the Adaptive Capacity Program</i> \$75,000 2013	PC	\$0	\$75,000	\$0	\$75,000
<b>Northwestern University Settlement</b> 1012 N. Noble St Chicago, IL 60642 <i>To support organizational transformation of integrating social service delivery with artistic practice</i> \$152,050 2011	PC	\$54,000	\$0	\$0	\$54,000
<b>Northwestern University Settlement</b> 1012 N. Noble St Chicago, IL 60642 <i>To support the continued integration of artistic and programmatic practice with social service delivery</i> \$10,000 2013	PC	\$0	\$10,000	\$0	\$10,000
<b>On the Boards</b> PO Box 19515 Seattle, WA 98109 <i>Adaptive Change Capacity Initiative</i> \$300,000 2013	PC	\$0	\$300,000	\$0	\$30,000
<b>Oregon Shakespeare Festival Association</b> 15 S Pioneer St Ashland, OR 97520 <i>Adaptive Change Capacity Initiative</i> \$1,000,000	PC	\$0	\$1,000,000	\$0	\$50,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
2013					
<b>QCC-The Center for Lesbian Gay Bisexual Transgender Art &amp; Culture</b>	PC	\$0	\$67,500	\$0	\$11,250
c/o African American Art & Culture Complex 762 Fulton Street San Francisco, CA 94102 <i>To support the Queer Arts Summit in San Francisco</i>					
\$67,500					
2013					
<b>STREB Inc.</b>	PC	\$54,000	\$0	\$0	\$54,000
51 N 1st St Brooklyn, NY 11249 <i>To support SLAM REMOTE, a new presentation model to expand, extend and enrich how audiences experience dance</i>					
\$150,000					
2011					
<b>STREB Inc.</b>	PC	\$0	\$10,000	\$0	\$10,000
51 N 1st St Brooklyn, NY 11249 <i>To support SLAM REMOTE broadcasting</i>					
\$10,000					
2013					
<b>Theatre Bay Area</b>	PC	\$54,000	\$0	\$0	\$54,000
1119 Market St FL 2 San Francisco, CA 94103 <i>To support the Intrinsic Impact project</i>					
\$152,250					
2011					
<b>Theatre Bay Area</b>	PC	\$0	\$10,000	\$0	\$10,000
1119 Market St FL 2 San Francisco, CA 94103 <i>To broaden, deepen and scale the Intrinsic Impact study for audiences with a new cohort of 12 theaters</i>					
\$10,000					

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<b>2013</b> <b>Theatre Communications Group Inc.</b> 520 8th Avenue 24th floor New York, NY 10018-4156 <i>To support "Leading the Charge on Diversity and Inclusion," to study, record, and disseminate the history and progress of racial and ethnic diversity within the theatre field</i> \$225,000	PC	\$0	\$225,000	\$0	\$185,000
<b>2013</b> <b>Theatre Communications Group Inc.</b> 520 8th Avenue, 24th Floor New York, NY 10018-4156 <i>Core Support for National Organizations</i> \$450,000	PC	\$0	\$450,000	\$0	\$450,000
<b>2013</b> <b>Theatre Development Fund</b> 520 8th Avenue, 24th Floor New York, NY 10018-4156 <i>Finding new ways to connect playwrights and generative theatre artists with audiences</i> \$78,750	PC	\$0	\$78,750	\$0	\$62,262
<b>2013</b> <b>University of Southern California</b> 1333 San Pablo Street Los Angeles, CA 90033 <i>To support a series of experiments to develop new models for communicating about the arts</i> \$208,267	PC	\$100,655	\$0	\$0	\$100,655
<b>2012</b> <b>UBW, Inc</b> 138 S. Oxford Street, #4B Brooklyn, NY 11217	PC	\$25,500	\$0	\$0	\$25,500



**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>To support Project Next Generation; examining environmental conditions which impact the participation of young women of color in the field of modern and contemporary dance</i>					
\$67,500 2011					
<b>Wesleyan University</b> Middletown, CT 06459 <i>Adaptive Change Capacity Initiative</i> \$400,000 2013	PC	\$0	\$400,000	\$0	\$30,000
<b>Western Jazz Presenters Network</b> 765 W. Panorama Rd. Tucson, AZ 85704 <i>To support tours of jazz artists and groups</i> \$30,000 2013	PC	\$0	\$30,000	\$0	\$30,000
<b>Woolly Mammoth Theatre Company</b> 641 D Street NW Washington, DC 20004 <i>To support a connectivity function surrounding each individual show</i> \$152,000 2011	PC	\$54,000	\$0	\$0	\$54,000
<b>Woolly Mammoth Theatre Company</b> 641 D Street NW Washington, DC 20004 <i>To support Connectivity Technology: continuing to engage and cultivate the next generation of theatre audiences through a technologically enhanced lobby</i> \$10,000 2013	PC	\$0	\$10,000	\$0	\$10,000
<b>Woolly Mammoth Theatre Company</b>	PC	\$0	\$800,000	\$0	\$40,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
641 D Street NW Washington, DC 20004 <i>Adaptive Change Capacity Initiative</i> \$800,000 2013					
<b>Wooster Group, Inc.</b> PO Box 654, Canal Street Station New York, NY 10013 <i>To support Wooster Web, an artistic and marketing platform that provides audiences with increased access to the Wooster Group's work</i> \$150,000 2011	PC	\$54,000	\$0	\$0	\$54,000
<b>Wooster Group, Inc.</b> PO Box 654, Canal Street Station New York, NY 10013 <i>Continued support for Wooster Web: live streaming of rehearsals and commentary</i> \$10,000 2013	PC	\$0	\$10,000	\$0	\$10,000
<b>Youth Speaks Inc</b> 1663 Mission Street Suite 604 San Francisco, CA 94103 <i>To support two convenings to address the emerging aesthetic, demographic, and political trends in the field of theater and performance</i> \$123,191 2013	PC	\$0	\$123,191	\$0	\$41,000
<b>Artists Striving To End Poverty Inc</b> 165 W 46Th St Ste 1303 New York, NY 10036-2514 <i>General Support</i> \$10,000	PC	\$0	\$10,000	\$0	\$10,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
2013					
<b>New Professional Theatre Inc</b> 229 W. 42nd St. #501 New York, NY 10598 <i>General Support</i> \$10,000	PC	\$0	\$10,000	\$0	\$10,000
2013					
<b>Playwrights Horizons Inc.</b> 416 W 42nd St New York, NY 10036 <i>General Support</i> \$40,000	PC	\$0	\$40,000	\$0	\$40,000
2013					
<b>Studio Museum In Harlem Inc</b> 144 W 125th St New York, NY 10027 <i>General Support</i> \$22,819	PC	\$0	\$22,819	\$0	\$22,819
2013					
<b>TOTAL ARTS</b>		<b>\$5,749,847</b>	<b>\$24,218,141</b>	<b>\$90,370</b>	<b>\$13,235,718</b>

**ARTS INITIATIVE**

<b>Kings Majestic Corporation</b> 651 Fulton St Brooklyn, NY 11217 <i>To support an exploration of new approaches to building demand for theater.</i> \$20,000	PC	\$0	\$20,000	\$0	\$0
2013					
<b>Bric Arts Media Bklyn Inc</b> 45 Main St, Ste 530 Brooklyn, NY 11201 <i>To support a performing artist residency to build demand</i>	PC	\$0	\$155,000	\$0	\$62,500

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>for contemporary dance among the residents of public housing developments surrounding BRIC Arts Media House in Brooklyn</i>					
\$155,000 2013					
<b>Brooklyn Arts Exchange Inc</b> 421 Fifth Ave Brooklyn, NY 11215 <i>To support an exploration of new approaches to building demand for theater and contemporary dance</i>	PC	\$0	\$20,000	\$0	\$0
\$20,000 2013					
<b>Casita Maria Inc</b> 928 Simpson Street Bronx, NY 10459 <i>To support an exploration of new approaches to building demand for jazz</i>	PC	\$0	\$20,000	\$0	\$0
\$20,000 2013					
<b>Childsplay, Inc.</b> 900 S. Mitchell Dr Tempe, AZ 85281 <i>To support a performing artist residency to build demand for theatre among young Latino families</i>	PC	\$0	\$155,000	\$0	\$71,000
\$155,000 2013					
<b>Columbia College</b> 1306 S Michigan Ave Chicago, IL 60605 <i>To support an exploration of new approaches to building demand for contemporary dance and jazz music</i>	PC	\$0	\$40,000	\$0	\$0
\$40,000 2013					
<b>Cornerstone Theater Company</b>	PC	\$0	\$40,000	\$0	\$0

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
708 Traction Ave Los Angeles, CA 90013 <i>To support an exploration of new approaches to building demand for theater</i> \$40,000 2013		\$0	\$40,000	\$0	\$0
<b>Counterpulse</b> 1310 Mission Street San Francisco, CA 94103 <i>To support an exploration of new approaches to building demand for dance and theater</i> \$40,000 2013	PC	\$0	\$40,000	\$0	\$0
<b>Creative Capital Foundation</b> 65 Bleecker Street, 7th Floor New York, NY 10012 <i>Support tfor he Doris Duke Performing Artists Awards Program</i> \$1,071,222 2013	PC	\$0	\$1,071,222	\$0	\$630,455
<b>Danspace Project Inc</b> 131 East 10th Street New York, NY 10003 <i>To support an exploration of new approaches to building demand for contemporary dance</i> \$40,000 2013	PC	\$0	\$40,000	\$0	\$0
<b>Doris Duke Foundation Inc.</b> 650 5th Ave fl 19 New York, NY 10019-6108 <i>To support the first cohort of Doris Duke Artist Awards</i> \$5,775,000 2012	PF	\$4,836,500	\$0	\$0	\$1,460,159
<b>Doris Duke Foundation Inc.</b> 650 5th Ave fl 19	PF	\$0	\$5,500,000	\$0	\$1,361,517

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
New York, NY 10019-6108 <i>To support the second cohort of Doris Duke Artist Awards</i> \$5,500,000 2013	PF	\$0	\$5,500,000	\$0	\$0
<b>Doris Duke Foundation Inc.</b> 650 5th Ave fl 19 New York, NY 10019-6108 <i>To support the third cohort of Doris Duke Artist Awards</i> \$5,500,000 2013	PF	\$0	\$1,600,000	\$0	\$0
<b>Doris Duke Foundation Inc.</b> 650 5th Ave fl 19 New York, NY 10019-6108 <i>To support the first cohort of Doris Duke Impact Awards</i> \$1,600,000 2013	PC	\$0	\$20,000	\$0	\$0
<b>East West Players</b> 120 Judge John Aiso St. Los Angeles, CA 90012 <i>To support an exploration of new approaches to building demand for theater</i> \$20,000 2013	PC	\$0	\$155,000	\$0	\$57,024
<b>Epic Theatre Center Inc</b> 55 W 39th St, Ste 302 New York, NY 10018 <i>To support a performing artist residency to build demand for theater among NYC's Arab-American community through a series of workshops</i> \$155,000 2013	PC	\$0	\$40,000	\$0	\$0
<b>The Flea Theater</b> 41 White St New York, NY 10013					

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>To support an exploration of new approaches to building demand for live theater</i> \$40,000 2013		\$0	\$155,000	\$0	\$93,750
<b>Georgia Tech Research Corporation</b> Atlanta, GA 30332 <i>To support a performing artist residency to build demand for dance choreography through an app that enable groups to participate through their mobile phones</i> \$155,000 2013	SO I				
<b>Illusion Theater and School Inc</b> 528 Hennepin Avenue, #704 Minneapolis, MN 55403 <i>To support an exploration of new approaches to building demand for theater</i> \$40,000 2013	PC	\$0	\$40,000	\$0	\$0
<b>Institute of Contemporary Art</b> 100 Northern Avenue Boston, MA 02210 <i>To support an exploration of new approaches to building demand for contemporary dance</i> \$40,000 2013	PC	\$0	\$40,000	\$0	\$0
<b>Interact Inc</b> 2030 Sansom Street Philadelphia, PA 19103 <i>To support an exploration of new approaches to building demand for Asian American artists and audiences</i> \$20,000 2013	PC	\$0	\$20,000	\$0	\$0
<b>Lookingglass Theatre Company</b> 875 N Michigan Ave, Ste 2200	PC	\$0	\$155,000	\$0	\$56,612

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
Chicago, IL 60611 <i>To support a performing artist residency to transform how Lookingglass engages constituencies and develops stakeholders</i>					
\$155,000 2013					
<b>Lower Manhattan Cultural Council</b> 125 Maiden Lane, 2nd FL New York, NY 10038 <i>To support an exploration of new approaches to building demand for contemporary dance at the East River Waterfront program.</i>	PC	\$0	\$40,000	\$0	\$0
\$40,000 2013					
<b>The National Jazz Museum In Harlem</b> 104 East 126th Street, #2D New York, NY 10035 <i>To explore new approaches to building demand for jazz</i>	PC	\$0	\$20,000	\$0	\$0
\$20,000 2013					
<b>New Group Inc</b> 410 W 42nd St New York, NY 10036 <i>To support an exploration of new approaches to building demand for theater by collaborating with students from diverse backgrounds</i>	PC	\$0	\$40,000	\$0	\$0
\$40,000 2013					
<b>On the Boards</b> PO Box 19515 Seattle, WA 98109 <i>To support an exploration of new approaches to building demand for dance</i>	PC	\$0	\$40,000	\$0	\$0
\$40,000					



## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<b>2013</b> <b>Open Channels New York Inc</b> 161A Chrystie Street, Ground Floor New York, NY 10002 <i>To support an exploration of new approaches to building for live, alternative theater and interdisciplinary performance</i> \$40,000 2013	PC	\$0	\$40,000	\$0	\$0
<b>Painted Bride Art Center Inc</b> 230 Vine Street Philadelphia, PA 19106 <i>To support an exploration of new approaches to building demand across disciplines</i> \$40,000 2013	PC	\$0	\$40,000	\$0	\$0
<b>Performance Space 122</b> 150 First Avenue New York, NY 10009 <i>To support an exploration of new approaches to building demand for contemporary dance and theater</i> \$40,000 2013	PC	\$0	\$40,000	\$0	\$0
<b>Studio At 620 Inc</b> 620 First Ave S St. Petersburg, FL 33701 <i>To support a performing artist residency to increase demand for jazz, theater, and/or contemporary dance among Gen Y audiences</i> \$80,000 2013	PC	\$0	\$80,000	\$0	\$56,895
<b>Two River Theatre Company</b> 21 Bridge Avenue Red Bank, NJ 07701	PC	\$0	\$40,000	\$0	\$0

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>To support an exploration of new approaches to building demand for theater among Latino audiences</i>					
\$40,000 2013		\$0	\$40,000	\$0	\$0
<b>Regents University of California Los Angeles</b> 9911 W. Pico Blvd., Ste. 980 Los Angeles, CA 90095	PC				
<i>To support an exploration of new approaches to building demand for contemporary dance</i>					
\$40,000 2013		\$0	\$155,000	\$0	\$69,860
<b>Board of Trustees of the University of Illinois</b> 1501 S Oak St Champaign, IL 61820	PC				
<i>To support a performing artist residency to shift the paradigm of contemporary expectations about what art means through an expanded sense of community</i>					
\$155,000 2013		\$0	\$155,000	\$0	\$65,813
<b>University of Minnesota Foundation</b> McNamara Alumni Center 200 Oak Street SE Minneapolis, MN 55455	PC				
<i>To support a performing artist residency to increase demand for contemporary dance in Native Communities</i>					
\$155,000 2013		\$0	\$20,000	\$0	\$0
<b>University of Texas Foundation</b> PO Box 250 Austin, TX 78767-0250	PC				
<i>To support an exploration of new approaches to building demand through development of a Summer</i>					

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>Institute for Contemporary and Experimental Black Performance at the University of Texas at Austin</i> \$20,000 2013		\$0	\$40,000	\$0	\$0
<b>Woolly Mammoth Theatre Company</b> 641 D Street NW Washington, DC 20004 <i>To support an exploration of new approaches to theatre among African Americans age 18-25</i> \$40,000 2013	PC	\$0	\$40,000	\$0	\$0
<b>Wooster Group, Inc.</b> PO Box 654 Canal Street Station New York, NY 10013 <i>To support a performing artist residency to increase demand</i> \$155,000 2013	PC	\$0	\$155,000	\$0	\$62,500
<b>Yard Inc</b> 131 Perry Street, #1A New York, NY 10014 <i>To support an exploration of new approaches to building demand for contemporary dance, including components of tap/percussive dance, musical theater and applied media</i> \$20,000 2013	PC	\$0	\$20,000	\$0	\$0
<b>Yerba Buena Center for the Arts</b> 701 Mission St San Francisco, CA 94103-3138 <i>To support a performing artist residency to increase demand for jazz programs</i>	PC	\$0	\$155,000	\$0	\$93,750

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
\$155,000 2013					
<b>TOTAL Arts Initiative</b>		<b>\$4,836,500</b>	<b>\$15,946,222</b>	<b>\$0</b>	<b>\$4,141,835</b>

**CHILD WELL-BEING**

<b>Boston Medical Center Corporation</b> One Boston Medical Center Place Boston, MA 02118 <i>To support the implementation of the Vital Village Community Engagement Network</i> \$1,300,000 2013	PC	\$0	\$1,300,000	\$0	\$0
<b>Center for the Study of Social Policy</b> 1575 Eye St, NW, Ste 500 Washington, DC 20005 <i>Support for Institutionalizing the Strengthening Families Approach</i> \$750,000 2013	PC	\$0	\$750,000	\$0	\$420,000
<b>Chapin Hall Center For Children</b> 1313 E. 60th Street Chicago, IL 60637 <i>Doris Duke Fellowships for Promotion of Child Well-being</i> \$2,397,791 2009	PC	\$647,791	\$0	\$0	\$647,791
<b>Chapin Hall Center For Children</b> 1313 E. 60th Street Chicago, IL 60637 <i>To renew support for the Doris Duke Fellowships for the Promotion of Child Well-Being</i> \$2,071,000 2012	PC	\$1,930,926	\$0	\$0	\$505,670

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<b>Chapin Hall Center For Children</b> 1313 E. 60th Street Chicago, IL 60637 <i>To support a peer network strengthening community capacity to prevent child abuse using universal new parent assessments and referral systems</i> \$20,000 2013	PC	\$0	\$20,000	\$0	\$20,000
<b>Children and Family Futures Inc</b> 25371 Commercentre Drive, Suite 140 Lake Forest, CA 92630 <i>To support integration of parent training and additional family services in family drug courts</i> \$2,500,000 2013	PC	\$0	\$2,500,000	\$0	\$489,650
<b>Children's Bureau of Southern California</b> 1910 Magnolia Avenue Los Angeles, CA 90007 <i>To support expansion of the Magnolia Community Initiative to a broader network</i> \$600,000 2013	PC	\$0	\$600,000	\$0	\$0
<b>Childrens Outing Assn</b> 909 E North Ave Milwaukee, WI 53212 <i>Strengthening families to reduce child abuse and neglect</i> \$600,000 2013	PC	\$0	\$600,000	\$0	\$250,000
<b>Common Ground Communities Inc</b> 125 Maiden Lane, Suite 16C New York, NY 10038 <i>Developing a learning community of "place-based" projects</i> \$49,500	PC	\$0	\$49,500	\$0	\$49,500

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<b>2013</b>					
<b>Common Ground Communities Inc</b>	PC	\$0	\$1,000,000	\$0	\$0
125 Maiden Lane, Suite 16C New York, NY 10038					
<i>Support for "backbone" infrastructure for coordinated service delivery to drive accountability for programs</i>					
\$1,000,000					
<b>2013</b>					
<b>Common Ground Communities Inc</b>	PC	\$0	\$20,050	\$0	\$20,050
125 Maiden Lane, Suite 16C New York, NY 10038					
<i>To support the ongoing "Population Learning Community"</i>					
\$20,050					
<b>2013</b>					
<b>Erikson Institute</b>	PC	\$150,000	\$0	\$0	\$150,000
451 N. LaSalle St. Chicago, IL 60654					
<i>To infuse the Fussy Baby Network into systems of care</i>					
\$450,000					
<b>2012</b>					
<b>Fund for Public Health in New York</b>	PC	\$1,836,000	\$0	\$0	\$940,000
22 Cortlandt Street, Suite 1103 New York, NY 10007					
<i>Support for Adolescent Pregnancy Prevention in Schools</i>					
\$2,636,000					
<b>2012</b>					
<b>Institute For Child Success Inc</b>	PC	\$0	\$37,200	\$0	\$37,200
105 Edinburgh Ct Greenville, SC 29607-2529					
<i>Development of a Social Impact Bond model for the Nurse Family Partnership home visiting program</i>					
\$37,200					
<b>2013</b>					
<b>Meta House Inc</b>	PC	\$0	\$100,000	\$0	\$100,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
2625 N. Weil Street Milwaukee, WI 53212 <i>To strengthen outpatient child-parent relationship therapy</i> \$100,000 2013					
<b>National Alliance of Child Abuse Prevention Funds</b> 5712 30th Avenue NE Seattle, WA 98105 <i>To support a new national initiative to prevent child maltreatment, with a focus on preventing child neglect</i> \$1,750,000 2011	PC	\$450,000	\$0	\$0	\$450,000
<b>National Foundation for the Centers for Disease Control &amp; Prevention</b> 55 Park Place, Suite 400 Atlanta, GA 30303 <i>To support engaging public health and community organizations in raising awareness about early childhood and health inequities</i> \$150,000 2013	PC	\$0	\$150,000	\$0	\$93,750
<b>New Venture Fund</b> 734 15th St, NW, Suite 600 Washington, DC 20011 <i>To support business planning for the Belong Institute, a training and technical assistance component of the Magnolia Place Community Initiative</i> \$7,000 2013	PC	\$0	\$7,000	\$0	\$7,000
<b>President and Fellows of Harvard College</b> 2 Arrow Street, 4th Floor Boston, MA 02466 <i>To build knowledge translation and communicating</i>	PC	\$246,930	\$0	\$0	\$246,930

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>capacity about the science of early childhood development, with a focus on neglect and resilience, at the Center on the Developing Child</i>					
\$950,800 2011					
<b>Prevent Child Abuse America</b> 228 S Wabash Ave fl 10 Chicago, IL 60604 <i>To support work on Social Movements, What Works, Consciousness Maintenance, and The National Movement for America's Children.</i>	PC	\$150,000	\$0	\$0	\$150,000
\$400,000 2012					
<b>Teachers College Columbia University</b> 525 West 120th Street New York, NY 10027 <i>Support for Child and Family Well-Being: A Randomized Experiment of Subsidized Housing in New York City</i>	PC	\$650,000	\$0	\$0	\$0
\$1,000,000 2012					
<b>University of Minnesota Foundation</b> McNamara Alumni Center 200 Oak Street SE Minneapolis, MN 55455 <i>The Midwest Child-Parent Center Sustainability Project</i>	PC	\$0	\$50,000	\$0	\$50,000
\$50,000 2013					
<b>Zero To Three - National Center For Infants, Toddlers and Families</b> 1255 23rd Street, NW, Suite 350 Washington, DC 20037 <i>Disseminating the "Preventing Child Abuse and Neglect: Parent-Provider Partnerships in Child Care" Curriculum</i>	PC	\$375,483	\$0	\$0	\$375,483
\$1,000,000					



**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
2012					
Zero To Three - National Center For Infants, Toddlers and Families 1255 23rd Street, NW, Suite 350 Washington, DC 20037 <i>Planning a project to integrate positive parenting messages in popular media</i> \$75,000	PC	\$0	\$75,000	\$0	\$75,000
2013					
Common Ground Community Housing Development Fund Corporation Inc 505 Eighth Ave New York, NY 10018 <i>General Support</i> \$25,000	PC	\$0	\$25,000	\$0	\$25,000
2013					
Common Ground Communities Inc 125 Maiden Lane, Suite 16C New York, NY 10038 <i>General Support</i> \$5,000	PC	\$0	\$5,000	\$0	\$5,000
2013					
New Yorkers For Children Inc 450 Seventh Avenue, Suite 403 New York, NY 10123 <i>General Support</i> \$35,000	PC	\$0	\$35,000	\$0	\$35,000
2013					
<b>TOTAL Child Well-being</b>		<b>\$6,437,130</b>	<b>\$7,323,750</b>	<b>\$0</b>	<b>\$5,143,024</b>

**ENVIRONMENT (including CLIMATE CHANGE)**

American Farmland Trust	PC	\$0	\$50,000	\$0	\$50,000
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**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
1200 18th St NW, Ste 800 Washington, DC 20036 <i>To support strengthening the foundation for a Hudson Valley Farmlink Network</i> \$50,000 2013					
<b>American Museum of Natural History</b> Central Park West At 79th St New York, NY 10024-5192 <i>Augmentation of the Science Research Mentoring Program to generate interest in conservation science and conservation careers</i> \$832,000 2012	PC	\$497,000	\$0	\$0	\$300,000
<b>Cary Institute of Ecosystem Studies Inc</b> 2801 Sharon Turnpike Millbrook, NY 12545 <i>To support a scientific synthesis and communication initiative focused on introduced forest insects &amp; pathogens</i> \$50,000 2013	PC	\$0	\$50,000	\$0	\$50,000
<b>City Parks Foundation</b> 830 5th Avenue NY, NY 10065 <i>To support launch of the Natural Areas Conservancy</i> \$1,000,000 2012	PC	\$500,000	\$0	\$0	\$0
<b>Community Foundation Of New Jersey</b> 35 Knox Hill Road Morristown, NJ 07960 <i>To support projects of the New Jersey Recovery Fund that enhance community resilience to climate change in the wake of Superstore Sandy</i> \$250,000	PC	\$0	\$250,000	\$0	\$250,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
2013 <b>Conservation Resources Inc.</b> 100 North Rd, Site 2 PO Box 594 Chester, NJ 07930 <i>To support and expand the Raritan Piedmont Wildlife Habitat Partnership Conservation Plan</i> \$1,048,200	PC	\$98,200	\$0	\$0	\$98,200
2011 <b>Consultative Group on Biological Diversity</b> Presidio Building 1016 PO Box 29361 San Francisco, CA 94129-0361 <i>Membership and support for the Climate &amp; Energy Funders Group</i> \$40,000	PC	\$0	\$40,000	\$0	\$40,000
2013 <b>Council On The Environment Inc</b> 51 Chambers St, Room 228 New York, NY 10007 <i>To launch of the Greenmarket Technical Assistance Project</i> \$200,000	PC	\$50,000	\$0	\$0	\$50,000
2012 <b>Council On The Environment Inc</b> 51 Chambers St, Room 228 New York, NY 10007 <i>To support the launch of Greenmarket Wholesale</i> \$200,000	PC	\$50,000	\$0	\$0	\$0
2012 <b>Council On The Environment Inc</b> 51 Chambers St, Room 228 New York, NY 10007 <i>To provide funds to rebuild ten community gardens that were heavily impacted by Superstorm Sandy</i>	PC	\$0	\$100,000	\$0	\$100,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
\$100,000 2013		\$0	\$4,066,750	\$0	\$1,407,880
<b>Defenders of Wildlife</b> 1130 17th St, NW Washington, DC 20036 <i>To develop and inform a national policy expediting sensitive siting of renewable energy resources</i> \$4,066,750 2013	PC	\$0	\$4,066,750	\$0	\$1,407,880
<b>Glynwood Center, Inc.</b> Glynwood Drive Cold Spring, NY 10516 <i>To support the Farm Business Incubator project</i> \$350,000 2012	PC	\$350,000	\$0	\$0	\$200,000
<b>Hawthorne Valley Association</b> 327 Route 21C Ghent, NY 12075 <i>To support the demonstration of wild-life friendly farming practices in the Hudson Valley</i> \$20,000 2013	PC	\$0	\$20,000	\$0	\$20,000
<b>Land Trust Alliance Incorporated</b> 1660 L Street NW, Suite 1100 Washington, DC 20036 <i>To increase the capacity of the Land Trust Accreditation Commission</i> \$100,000 2013	PC	\$0	\$100,000	\$0	\$100,000
<b>Land Trust Alliance Incorporated</b> 1660 L Street NW, Suite 1100 Washington, DC 20036 <i>To support the Land Trust Excellence Program</i> \$1,000,000	PC	\$0	\$1,000,000	\$0	\$675,000

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
2013 <b>National Wildlife Federation</b> 11100 Wildlife Center Drive Reston, VA 20190 <i>To support work to safeguard wildlife biodiversity in the face of a rapidly expanding bioenergy industry</i> \$899,700	PC	\$199,700	\$0	\$0	\$199,700
2010 <b>Natural Resources Defense Council Inc</b> 40 West 20th Street New York, NY 10011 <i>To support the Mayors' Energy Initiative</i> \$3,230,000	PC	\$3,230,000	\$0	\$0	\$1,345,000
2012 <b>The Nature Conservancy, Inc.</b> 4245 North Fairfax Drive Arlington, VA 22203 <i>To support application of resilience science in ecoregions located in Eastern North America, Northern California, and the Pacific Northwest</i> \$776,000	PC	\$0	\$776,000	\$0	\$500,000
2013 <b>New Venture Fund</b> 734 15th St., NW, Suite 600 Washington, DC 20011 <i>To support the Sustainable Agriculture and Food Systems 2013 membership and Forum</i> \$10,000	PC	\$0	\$10,000	\$0	\$10,000
2013 <b>New York City Energy Efficiency Corporation</b> 110 William Street, Fl. 3 New York, NY 10011 <i>Operating Support</i> \$540,000	PC	\$190,000	\$0	\$0	\$0

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
2012					
<b>New Yorkers For Parks</b>	PC	\$0	\$40,000	\$0	\$40,000
55 Broad Street, 23rd Floor New York, NY 10004					
<i>To monitor and help guide the ongoing growth and development of the NYC Natural Areas Conservancy and inform public dialogue about the role of public-private partnerships supporting NYC parks</i>					
\$40,000					
2013					
<b>North Star Fund Inc</b>	PC	\$0	\$22,500	\$0	\$22,500
520 8th Ave Rm 2203 New York, NY 10018-6656					
<i>To support the Community Food Funders group</i>					
\$22,500					
2013					
<b>Northern Arizona University Fdn Inc</b>	PC	\$0	\$1,500,000	\$0	\$852,720
624 S. Knoles Old Main - (Bldg #10) Flagstaff, AZ 86011					
<i>Doris Duke Conservation Scholars Program</i>					
\$1,500,000					
2013					
<b>Open Space Conservancy Inc</b>	SOI	\$3,000,000	\$0	\$0	\$2,000,000
1350 Broadway, Suite 201 New York, NY 10018					
<i>To protect sites in Northeast/Mid Atlantic U.S. that can enable wildlife adaptation to climate change</i>					
\$6,000,000					
2012					
<b>Open Space Conservancy Inc</b>	SOI	\$0	\$6,203,000	\$0	\$3,103,000
1350 Broadway, Suite 201 New York, NY 10018					
<i>To support the Southeastern Resilient Landscapes Initiative</i>					

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
\$6,203,000 2013					
<b>Pinchot Institute for Conservation</b> 1616 P St NW Suite 100 Washington, DC 20036 <i>To support a national policy workshop entitled, "Forest Conservation and Restoration in the Anthropocene: Adaptation of Science, Policy and Practices"</i> \$20,000 2013	PC	\$0	\$20,000	\$0	\$20,000
<b>Scenic Hudson, Inc</b> One Civic Center Plaza, Suite 200 Poughkeepsie, NY 12601-3157 <i>To advance farmland protection and wildlife habitat in the Hudson Valley through outreach, education, and strategic habitat mapping</i> \$100,000 2013	PC	\$0	\$100,000	\$0	\$100,000
<b>The Trust for Public Land</b> 101 Montgomery Street, Suite 900 San Francisco, CA 94104 <i>To renew support for the Conservation Finance Initiative</i> \$2,000,000 2012	PC	\$800,000	\$0	\$0	\$800,000
<b>Regents of the University of California</b> Sacramento, CA <i>To support research and design of whole building retro-fit approaches for multi-tenant light commercial buildings</i> \$350,000 2010	PC	\$70,000	\$0	\$0	\$70,000
<b>University Of Florida Foundation Inc</b> W. University Avenue Gainesville, FL 32603 <i>Doris Duke Conservation Scholars Program</i>	PC	\$0	\$1,500,000	\$0	\$979,100

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
\$1,500,000 2013					
<b>University of Washington Foundation</b> Seattle, WA	PC	\$0	\$1,500,000	\$0	\$1,140,150
<i>Doris Duke Conservation Scholars Program</i> \$1,500,000 2013					
<b>US Green Building Council New York Chapter</b> 20 Broad St, Suite 709 New York, NY 10005	PC	\$0	\$100,000	\$0	\$100,000
<i>Support for convening the NYC Building Resiliency Task Force</i> \$100,000 2013					
<b>The Carl Schurz Park Conservancy Inc</b> 1562 First Avenue, Suite 331 New York, NY 10028	PC	\$0	\$60,000	\$0	\$60,000
<i>General Support</i> \$60,000 2013					
<b>Central Park Conservancy Inc</b> 14 E 60th St. New York, NY 10022	PC	\$0	\$5,000	\$0	\$5,000
<i>General Support</i> \$5,000 2013					
<b>Doris Duke Monument Foundation</b> 51 Touro St Providence, RI 02940	POF	\$0	\$2,819	\$0	\$2,819
<i>Park at Queen Anne Square</i> \$2,819 2013					
<b>Environmental Defense Fund Incorporated</b> 257 Park Ave S, 16th Floor New York, NY 10010	PC	\$0	\$10,000	\$0	\$10,000



**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>General Support</i>					
\$10,000 2013					
<b>The Nature Conservancy, Inc.</b> 4245 North Fairfax Drive Arlington, VA 22203 <i>New York's general conservation activities</i>	PC	\$0	\$15,000	\$0	\$15,000
\$15,000 2013					
<b>Wildlife Conservation Society</b> 2300 Southern Blvd Bronx, NY 10460 <i>NY Aquarium Coney Island</i>	PC	\$0	\$24,455	\$0	\$24,455
\$24,455 2013					
<b>TOTAL Environment</b>		<b>\$9,034,900</b>	<b>\$17,565,523</b>	<b>\$0</b>	<b>\$14,740,523</b>

**MEDICAL RESEARCH**

<b>American Society for Clinical Investigation</b> 15 Research Drive Ann Arbor, MI 48103 <i>To support the 2013 ASCI/AAP Joint Meeting</i>	PC	\$0	\$15,000	\$0	\$15,000
\$15,000 2013					
<b>Baylor College of Medicine</b> One Baylor Plaza Houston, TX 77030 <i>Characterization of neuropsychiatric phenotypes and therapeutic intervention in patients with copy number variants of CHRNA7</i>	PC	\$81,000	\$0	\$0	\$81,000
\$486,000 2011					
<b>Baylor College of Medicine</b>	PC	\$0	\$486,000	\$0	\$243,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
One Baylor Plaza Houston, TX 77030 <i>Nitric oxide supplementation as a therapeutic intervention in argininosuccinic aciduria</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$243,000
<b>Baylor College of Medicine</b> One Baylor Plaza Houston, TX 77030 <i>An integrated genomics approach to identifying causal differences between edematous and non-edematous severe childhood malnutrition</i> \$486,000 2013	PC	\$81,000	\$0	\$0	\$81,000
<b>Beth Israel Deaconess Medical Center</b> Boston, MA 02215 <i>APOLI Variants and Renal Disease in African Americans</i> \$486,000 2011	PC	\$243,000	\$0	\$0	\$162,000
<b>Beth Israel Deaconess Medical Center</b> Boston, MA 02215 <i>Molecular identification and inhibition of the deoxygenation-activated, calcium-permeable cation channel of the sickle erythrocyte, Psickle, a novel therapeutic target for treatment of sickle disease</i> \$486,000 2011	PC	\$0	\$486,000	\$0	\$243,000
<b>Brigham and Women's Hospital Inc</b> 75 Francis Street Boston, MA 02115 <i>Fine-Mapping Causal Genetic Alleles in Rheumatoid Arthritis</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$243,000
<b>Brigham and Women's Hospital Inc</b>	PC	\$0	\$486,000	\$0	\$243,000

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
75 Francis Street Boston, MA 02115 <i>Examination of human samples with somatic mutations in hematopoietic stem cells to inform the biology of fetal hemoglobin induction</i> \$486,000 2013	PC	\$243,000	\$0	\$0	\$0
<b>Broad Institute Inc</b> 7 Cambridge Ctr Cambridge, MA 02142-1401 <i>Translating genetic discoveries to improve sickle cell disease prognosis and treatment</i> \$486,000 2012	PC	\$0	\$486,000	\$0	\$243,000
<b>Case Western Reserve University</b> Cleveland, OH 44106 <i>'SCD Biochip': Towards a Simple and Reliable Way to Monitor Sickle Cell Disease</i> \$486,000 2013	PC	\$243,000	\$0	\$0	\$162,000
<b>Children's Hospital &amp; Research Center at Oakland</b> 747 52nd St Oakland, CA 94609 <i>Effect of Simvastatin Treatment on Vaso-occlusive Pain in Sickle Cell Disease</i> \$486,000 2011	PC	\$0	\$0	\$0	\$0
<b>Children's Hospital Corporation</b> 300 Longwood Avenue Boston, MA 02115 <i>New treatment options for childhood genetic kidney diseases</i> \$1,500,000	PC	\$0	\$0	\$0	\$0

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
2006 <b>Children's Hospital Corporation</b> 300 Longwood Avenue Boston, MA 02115 <i>Modeling Sickle Cell Anemia with Induced Pluripotent Stem Cells</i> \$486,000	PC	\$243,000	\$0	\$0	\$162,000
2011 <b>Children's Hospital Corporation</b> 300 Longwood Avenue Boston, MA 02115 <i>The Kisseptin-Stimulation Test as a Novel Diagnostic Tool for the Evaluation of Delayed Puberty: Addressing an unmet Medical Need in Adolescents</i> \$486,000	PC	\$0	\$486,000	\$0	\$243,000
2013 <b>Children's Hospital Corporation</b> 300 Longwood Avenue Boston, MA 02115 <i>Genome editing of the GWAS-marked BCL11A enhancer: an approach to HbF reactivation in sickle cell disease</i> \$486,000	PC	\$0	\$486,000	\$0	\$243,000
2013 <b>Children's Hospital of Philadelphia</b> 34th and Civic Center Blvd. Philadelphia, PA 19104 <i>Genomic Approaches to Prevent Red Blood Cell Alloimmunization in Patients with Sickle Cell Disease</i> \$486,000	PC	\$243,000	\$0	\$0	\$162,000
2011 <b>Children's Hospital of Philadelphia</b> 34th and Civic Center Blvd. Philadelphia, PA 19104	PC	\$243,000	\$0	\$0	\$162,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>HDAC8, Cohesin and Human Disease</i> \$486,000 2012		\$0	\$23,500	\$0	\$23,500
<b>Children's Hospital Of Los Angeles</b> 4650 Sunset Blvd Los Angeles, CA 90027 <i>To support the Clinical Research Experiences for High School Students (CREHS) Director's meeting</i> \$23,500 2013	PC	\$0	\$23,500	\$0	\$23,500
<b>Childrens Research Institute</b> 111 Michigan Ave NW Washington, DC 20010 <i>Feasibility and efficacy of a home-based, computerized cognitive training program in pediatric sickle cell disease</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$243,000
<b>Children's Hospital Medical Center</b> 3333 Burnet Avenue Cincinnati, OH 45229 <i>Gene Therapy for Sickle Cell Anemia</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$162,000
<b>Trustees of Columbia Univ in City of New York</b> 630 West 168th Street New York, NY 10032 <i>Immune Response To The Airway Microbiome in Cystic Fibrosis: A Longitudinal Study on the Etiology of Pulmonary Exacerbation</i> \$486,000 2012	PC	\$243,000	\$0	\$0	\$162,000
<b>Conquer Cancer Fdn of the American Society of Clinical Oncology</b> 2318 Mill Rd, Ste 800	PC	\$0	\$50,000	\$0	\$50,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
Alexandria, VA 22314 <i>To support two International Innovation Grants in 2014</i> \$50,000 2013			\$0	\$0	\$162,000
<b>Joan &amp; Sanford I. Weill Medical College of Cornell University</b> 1300 York Avenue, C620D New York, NY 10065 <i>Identification of prognostic markers and novel therapeutic targets in non-Hodgkin lymphoma (NHL) patients by comprehensive metabolomic profiling</i> \$486,000 2012	PC	\$243,000	\$0	\$0	\$162,000
<b>Dana-Farber Cancer Institute</b> 44 Binney St Boston, MA 02115 <i>Targeting SOX2-Driven Squamous Cell Carcinoma</i> \$486,000 2012	PC	\$243,000	\$0	\$0	\$162,000
<b>Dana-Farber Cancer Institute</b> 44 Binney St Boston, MA 02115 <i>Targeted derepression of fetal hemoglobin in sickle cell disease</i> \$486,000 2012	PC	\$243,000	\$0	\$0	\$0
<b>Dana-Farber Cancer Institute</b> 44 Binney St Boston, MA 02115 <i>To support a pilot to determine the incidence of sickle cell anemia trait and disease among newborns in Cange, Haiti and establish a sickle cell management</i>	PC	\$0	\$50,000	\$0	\$50,000

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>program based on group education that can be replicated in other resource-limited settings</i>					
\$50,000 2013					
<b>Duke University</b> 108 Seeley G. Mudd Building Durham, NC 27710	PC	\$243,000	\$0	\$0	\$162,000
<i>NRF2 induction as novel treatment for sickle cell disease</i>					
\$486,000 2011					
<b>Duke University</b> 108 Seeley G. Mudd Building Durham, NC 27710	PC	\$540,000	\$0	\$0	\$0
<i>International Clinical Research Fellowships for Medical Students</i>					
\$864,000 2012					
<b>Duke University</b> 108 Seeley G. Mudd Building Durham, NC 27710	PC	\$0	\$64,800	\$0	\$64,800
<i>Mapping the antiviral activity of a novel HIV-inhibitor isolated from breast milk</i>					
\$64,800 2013					
<b>Duke University</b> 108 Seeley G. Mudd Building Durham, NC 27710	PC	\$0	\$54,000	\$0	\$54,000
<i>Extension of Hematologic and Clinical Genotype-Phenotype Associations in Sickle Cell Disease Using Exome Chip and Metabolomic Analysis in Additional Cohorts</i>					
\$54,000 2013					
<b>Eastern Virginia Medical School</b> Center for Pediatric Research 855 West Brambleton Ave	PC	\$243,000	\$0	\$0	\$162,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
Norfolk, VA 23510 <i>Comparison of the Immunogenicity of Various Inactivated Polio Vaccine Booster Doses by Intradermal vs. Intramuscular Routes in HIV-Infected Subjects</i> \$486,000 2012	PC	\$243,000	\$0	\$0	\$162,000
<b>Emory University</b> Atlanta, GA 30322 <i>Reversal of Sickle Cell-Related Chronic Kidney Disease</i> \$486,000 2011	PC	\$243,000	\$0	\$0	\$162,000
<b>Georgetown University</b> 600 New Jersey Avenue NW Washington, DC 20001 <i>Can enhancing left lateralization using transcranial direct current stimulation improve recovery from post stroke aphasia?</i> \$486,000 2012	PC	\$540,000	\$0	\$0	\$0
<b>President and Fellows of Harvard College</b> 2 Arrow Street, 4th Floor Boston, MA 02466 <i>International Clinical Research Fellowships for Medical Students</i> \$864,000 2012	PC	\$0	\$5,000	\$0	\$5,000
<b>Health Research Alliance Inc.</b> 21 T. W. Alexander Drive Durham, NC 27709-3901 <i>2013 Membership</i> \$5,000.00 2013	PC	\$81,000	\$0	\$0	\$81,000
<b>Johns Hopkins University</b> Broadway Research Building, Suite 117 733 North Broadway					



**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
Baltimore, MD 21205 <i>HIV and HSV-2 shedding and transmission in recently circumcised men</i> \$486,000 2011					
<b>Johns Hopkins University</b> Broadway Research Building, Suite 117 733 North Broadway Baltimore, MD 21205 <i>Geriatric-specific risk assessment in older adults undergoing kidney transplantation</i> \$64,800 2013	PC	\$0	\$64,800	\$0	\$64,800
<b>Loyola University of Chicago</b> 2160 S First Ave Maywood, IL 60153 <i>Risk Stratification for Clinical Severity of Sickle Cell Disease in Nigeria and Assessment of Efficacy and Safety during Treatment with Hydroxyurea</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$243,000
<b>General Hosp Corp, dba Mass General Hospital</b> 55 Fruit Street Boston, MA 02114 <i>Analysis of the genetic interplay between LILR/HLA class I on dendritic cell function</i> \$64,800 2013	PC	\$0	\$64,800	\$0	\$64,800
<b>The Medical College Of Wisconsin Inc</b> 8701 Watertown Plank Rd Milwaukee, WI 53045 <i>Effects of the Adenosine 2A Receptor Agonist Regadenoson on Sickle Cell</i>	PC	\$243,000	\$0	\$0	\$162,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>Vaso-occlusion and Inflammation</i>					
\$486,000					
2011					
<b>Memorial Sloan-Kettering Cancer Center</b>	PC	\$243,000	\$0	\$0	\$162,000
1275 York Avenue					
New York, NY 10021					
<i>Preclinical evaluation of globin gene transfer in mobilized SCD patient CD34+ cells</i>					
\$486,000					
2011					
<b>Memorial Sloan-Kettering Cancer Center</b>	PC	\$243,000	\$0	\$0	\$162,000
1275 York Avenue					
New York, NY 10021					
<i>Evaluating the predictive potential of signature-based molecular subclasses in malignant glioma</i>					
\$486,000					
2012					
<b>Memorial Sloan-Kettering Cancer Center</b>	PC	\$243,000	\$0	\$0	\$162,000
1275 York Avenue					
New York, NY 10021					
<i>Targeting Disease-Initiating Cells in Acute Myeloid Leukemia and Myelodysplastic Syndromes for Clinical Benefit</i>					
\$486,000					
2012					
<b>Memorial Sloan-Kettering Cancer Center</b>	PC	\$0	\$64,800	\$0	\$64,800
1275 York Avenue					
New York, NY 10021					
<i>Regulation of WT1 peptide/ MHC epitopes on cancer cells</i>					
\$64,800					
2013					
<b>Miltons S Hershey Medical Center</b>	PC	\$81,000	\$0	\$0	\$81,000
500 University Dr					
Hershey, PA 17033					
<i>MicroRNAs as Biomarkers and Therapeutic Targets in Allergy</i>					

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
\$486,000 2011					
<b>Miltons S Hershey Medical Center</b> 500 University Dr Hershey, PA 17033 <i>Longitudinal study of the determinants of mental health outcomes in rural women exposed to intimate partner violence</i>	PC	\$243,000	\$0	\$0	\$162,000
\$486,000 2012					
<b>Minnesota Medical Foundation 1342</b> Minneapolis, MN <i>Role of NK Cell Receptors in Improving Outcomes after Umbilical Cord Blood Transplantation for Hematologic Malignancies</i>	PC	\$81,000	\$0	\$0	\$81,000
\$486,000 2011					
<b>Minnesota Medical Foundation 1342</b> Minneapolis, MN <i>International Clinical Research Fellowships for Medical Students</i>	PC	\$540,000	\$0	\$0	\$0
\$864,000 2012					
<b>Mount Sinai School Of Medicine</b> One Gustave L. Levy Place New York, NY 10029 <i>Ketamine Plus Lithium as a Novel Pharmacotherapeutic Strategy in Treatment-Resistant Depression</i>	PC	\$0	\$486,000	\$0	\$243,000
\$486,000 2013					
<b>National Academy of Sciences</b> 500 Fifth St., NW Washington, DC 20001 <i>Support for the IOM 2013 Forum on Drug Discovery Development and Translation</i>	PC	\$0	\$10,000	\$0	\$10,000
\$10,000					

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
2013 <b>National Academy of Sciences</b> 500 Fifth St., NW Washington, DC 20001 <i>To support a study on strategies for responsible sharing of clinical trial data</i> \$100,000	PC	\$0	\$100,000	\$0	\$100,000
2013 <b>New York Blood Center</b> 310 E 67th St. New York, NY 10065 <i>RH genotyping of patients with sickle cell anemia from a multi-center study (SWITCH trial) and correlation with alloimmunization following blood transfusion</i> \$54,000	PC	\$0	\$54,000	\$0	\$54,000
2013 <b>New York University</b> 11 W 42nd St New York, NY 10036 <i>Platelet Activity in Cardiovascular Disease</i> \$546,000	PC	\$0	\$0	\$60,000	\$60,000
2010 <b>New York University</b> 11 W 42nd St New York, NY 10036 <i>Functional Genomics of the Host: Defining Macrophage Susceptibility to Tuberculosis</i> \$526,000	PC	\$0	\$0	\$40,000	\$40,000
2010 <b>Northwestern University</b> Office of Sponsored Research 710 North Lake Shore Drive Chicago, IL 60611 <i>A Minimally-Invasive Brain-Machine Interface for Grasp</i>	PC	\$81,000	\$0	\$0	\$81,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
\$486,000 2011					
<b>Public Library of Science</b> 1160 Battery St Ste 100 San Francisco, CA 94111 <i>To support the Accelerating Science Award Program</i> \$10,000 2013	PC	\$0	\$10,000	\$0	\$10,000
<b>Rockefeller University</b> 1230 York Avenue New York, NY 10021 <i>Interplay between non-homologous end joining pathway and DNA crosslink repair in Fanconi anemia in Fanconi anemia</i> \$486,000 2011	PC	\$81,000	\$0	\$0	\$81,000
<b>Society for Clinical and Translational Science, Inc.</b> 2025 M St NW, Suite 800 Washington, DC 20036 <i>Membership</i> \$7,500 2013	PC	\$0	\$7,500	\$0	\$7,500
<b>Board of Trustees of Leland Stanford Jr University</b> Stanford, California 94305 <i>Genomic Approaches For Targeting Risk In Hematological Malignancies</i> \$486,000 2011	PC	\$81,000	\$0	\$0	\$81,000
<b>Board of Trustees of Leland Stanford Jr University</b> Stanford, California 94305 <i>Systems immunology to understand antiviral deficits during pregnancy</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$243,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<b>Board of Trustees of Leland Stanford Jr University</b> Stanford, California 94305 <i>Development of AAK1 and GAK Inhibitors for Combating Drug-Resistant HIV</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$243,000
<b>Temple University</b> 3500 N Broad St Philadelphia, PA 19140 <i>The Influence of Postpartum Sleep Duration on Adiposity and Cardiomatabolic Risk Factors in Urban, Low-Income Mothers</i> \$486,000 2012	PC	\$243,000	\$0	\$0	\$162,000
<b>Regents University of California Los Angeles</b> 9911 W. Pico Blvd., Ste. 980 Los Angeles, CA 90095 <i>Site-Specific Gene Modification in Hematopoietic Stem Cells for Sickle Cell Disease</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$0
<b>Regents University of California Los Angeles</b> 9911 W. Pico Blvd., Ste. 980 Los Angeles, CA 90095 <i>To support improving the persistence of under-represented minority students in Science, Technology, Engineering, and Match (STEM) Majors</i> \$100,000 2013	PC	\$0	\$100,000	\$0	\$100,000
<b>Regents of the University of California at Berkeley</b> 2150 Shattuck Ave Ste 313 Berkeley, CA 94704 <i>Mobile monitoring technology to improve patient outcomes in Sub-Saharan Africa: Evaluation of remote</i>	PC	\$81,000	\$0	\$0	\$81,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>biosensors and wireless adherence monitors to detect early morbidity and treatment failure among HIV-infected patients in rural Uganda.</i>					
\$486,000					
2011					
<b>Regents of The University of California at San Diego</b>	PC	\$81,000	\$0	\$0	\$81,000
9500 Gilman Drive					
La Jolla, CA 92103-8756					
<i>Proteasome inhibition as subtype-specific therapeutic intervention in glioblastoma: A step toward personalized oncologic care</i>					
\$486,000					
2010					
<b>Regents of The University of California at San Diego</b>	PC	\$0	\$64,800	\$0	\$64,800
9500 Gilman Drive					
La Jolla, CA 92103-8756					
<i>Molecular Rheostats in Type II Diabetes - Novel therapeutic targets for Insulin Resistance</i>					
\$64,800					
2013					
<b>University of California San Francisco</b>	PC	\$81,000	\$0	\$0	\$81,000
505 Parnassus Ave M696					
San Francisco, CA 94118					
<i>Impact of chemoprevention on humoral antimalarial immunity</i>					
\$486,000					
2011					
<b>University Of California San Francisco</b>	PC	\$243,000	\$0	\$0	\$162,000
505 Parnassus Ave M696					
San Francisco, CA 94118					
<i>Discovery of Determinants of Response to Targeted Therapy in Lung Cancer</i>					
\$486,000					
2012					
<b>University Of California San Francisco</b>	PC	\$540,000	\$0	\$0	\$0

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
505 Parnassus Ave M696 San Francisco, CA 94118 <i>International Clinical Research Fellowships for Medical Students</i> \$864,000 2012		\$0	\$64,800	\$0	\$64,800
<b>University Of California San Francisco</b> 505 Parnassus Ave M696 San Francisco, CA 94118 <i>Etiology of non-malarial febrile illnesses in Ugandan children</i> \$64,800 2013	PC	\$0	\$64,800	\$0	\$64,800
<b>University Of California San Francisco</b> 505 Parnassus Ave M696 San Francisco, CA 94118 <i>Electrocorticography based control of an anthropomorphic upper limb exoskeleton</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$243,000
<b>University Of California San Francisco</b> 505 Parnassus Ave M696 San Francisco, CA 94118 <i>Personalizing Treatment for Pancreatic Cancer Patients</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$243,000
<b>University of Chicago</b> 6030 South Ellis Avenue, Room 114 Chicago, IL 60637 <i>Understanding social and system delays that lead to late diagnosis of breast cancer in Southwestern Nigeria</i> \$64,800 2013	PC	\$0	\$64,800	\$0	\$64,800
<b>State University of Iowa Foundation</b>	PC	\$0	\$486,000	\$0	\$243,000



## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
317 Seashore Hall West Iowa City, IA 52242 <i>Molecular Genetic Mechanisms of Calpain-5 Autoimmunity</i> \$486,000 2013	PC	\$81,000	\$0	\$0	\$81,000
<b>Regents of the University of Michigan</b> 2074 Fleming Building Ann Arbor, MI 48109-1115 <i>Epigenetic characterization of progressive vs. stable myelodysplastic syndromes (MDS)</i> \$486,000 2011	PC	\$243,000	\$0	\$0	\$162,000
<b>Regents of the University of Michigan</b> 2074 Fleming Building Ann Arbor, MI 48109-1115 <i>Genetic Epidemiology Studies of Nonalcoholic Fatty Liver Disease in Diverse Ancestries</i> \$486,000 2012	PC	\$0	\$486,000	\$0	\$243,000
<b>Regents of the University of Michigan</b> 2074 Fleming Building Ann Arbor, MI 48109-1115 <i>The genetics of fibromuscular dysplasia and associated aneurysmal disease</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$243,000
<b>Regents of the University of Michigan</b> 2074 Fleming Building Ann Arbor, MI 48109-1115 <i>Viral mutant networks and effective influenza control</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$243,000
<b>Regents of the University of Michigan</b> 2074 Fleming Building	PC	\$0	\$486,000	\$0	\$243,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
Ann Arbor, MI 48109-1115 <i>Influence of risk alleles on the composition of the inflammatory network in psoriasis and prioritization for functional studies</i>					
\$486,000 2013			\$486,000	\$0	\$162,000
<b>University of Minnesota Foundation</b> McNamara Alumni Center 200 Oak Street SE Minneapolis, MN 55455 <i>Novel use Of Hydroxyurea in an African Region with Malaria</i>	PC	\$0	\$486,000	\$0	\$162,000
\$486,000 2013					
<b>University of North Carolina at Chapel Hill</b> 104 Airport Drive, Ste 2200, Campus Box 1350 Chapel Hill, NC 27599 <i>Myeloid Derived Suppressor Cells in Type 1 Diabetes Mellitus</i>	PC	\$81,000	\$0	\$0	\$81,000
\$486,000 2011					
<b>University of North Carolina at Chapel Hill</b> 104 Airport Drive, Ste 2200, Campus Box 1350 Chapel Hill, NC 27599 <i>International Clinical Research Fellowships for Medical Students</i>	PC	\$540,000	\$0	\$0	\$0
\$864,000 2012					
<b>University of North Carolina at Chapel Hill</b> 104 Airport Drive, Ste 2200, Campus Box 1350 Chapel Hill, NC 27599 <i>Validation of a community survey methodology for measuring PMTCT impact</i>	PC	\$0	\$64,800	\$0	\$64,800
\$64,800 2013					
<b>University of North Carolina at Chapel Hill</b> 104 Airport Drive, Ste 2200, Campus Box 1350	PC	\$0	\$486,000	\$0	\$243,000

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
Chapel Hill, NC 27599 <i>The effects of hypoxia on red blood cell-dependent thrombin generation in sickle cell disease</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$243,000
<b>University of North Carolina at Chapel Hill</b> 104 Airport Drive, Ste 2200, Campus Box 1350 Chapel Hill, NC 27599 <i>Targeting Neutrophil Extracellular Traps in Sickle Cell Disease</i> \$486,000 2013	PC	\$81,000	\$0	\$0	\$81,000
<b>Trustees of the University of Pennsylvania</b> 3451 Walnut Street Philadelphia, PA 19104-6205 <i>Parkinson's disease biomarkers: Finding and understanding clinically useful markers for PD and endophenotypes within PD</i> \$486,000 2011	PC	\$243,000	\$0	\$0	\$162,000
<b>Trustees of the University of Pennsylvania</b> 3451 Walnut Street Philadelphia, PA 19104-6205 <i>Targeting Evolution by Inhibition of an Error-Prone Polymerase in Drug-Resistant Pseudomonas aeruginosa</i> \$486,000 2012	PC	\$0	\$64,800	\$0	\$64,800
<b>Trustees of the University of Pennsylvania</b> 3451 Walnut Street Philadelphia, PA 19104-6205 <i>Deep Phenotyping of Patients with Novel Genetic Variants Associated with Unusual Lipid Levels</i> \$64,800 2013	PC	\$0	\$64,800	\$0	\$64,800

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
Trustees of the University of Pennsylvania 3451 Walnut Street Philadelphia, PA 19104-6205 <i>A role for peripheral blood monocytes in regulating tumor biology in pancreatic cancer</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$243,000
University of Southern California 1333 San Pablo Street Los Angeles, CA 90033 <i>Effects of sugar ingestion on brain reward and energy signaling pathways in humans</i> \$486,000 2012	PC	\$243,000	\$0	\$0	\$162,000
University of Utah Salt Lake City, UT 84112 <i>Identification of Novel Genetic Variants in Patients with Congenital Heart Disease</i> \$486,000 2012	PC	\$243,000	\$0	\$0	\$162,000
University of Utah Salt Lake City, UT 84112 <i>Humans as a model organism to study metabolic changes in heart failure and myocardial recovery</i> \$486,000 2013	PC	\$0	\$486,000	\$0	\$243,000
University of Washington Foundation Seattle, WA <i>Exome Sequencing of Melioidosis Patients to Illuminate Mechanisms of Host Susceptibility to Severe Sepsis</i> \$486,000 2011	PC	\$81,000	\$0	\$0	\$81,000
University of Washington Foundation Seattle, WA	PC	\$243,000	\$0	\$0	\$162,000

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>Development of new tools to examine host-microbe interactions in the reproductive tract</i>					
\$486,000 2012					
<b>Vanderbilt University</b> 2201 West End Ave Nashville, TN 37240	PC	\$81,000	\$0	\$0	\$81,000
<i>MicroRNAs in Myelodysplastic Syndrome</i>					
\$486,000 2011					
<b>William Marsh Rice University</b> 3333 Burnett Avenue, Cincinnati, OH 45229 <i>Accurate and Inexpensive Point-of-Care Diagnosis of Sickle Cell Anemia</i>	PC	\$0	\$486,000	\$0	\$243,000
\$486,000 2013					
<b>Yale University</b> Grant & Contract Administration 47 College Street, Suite 203, P.O. Box 208047 New Haven, CT 06520-8047	PC	\$81,000	\$0	\$0	\$81,000
<i>Genetics and pathobiology of disorders of keratinization</i>					
\$486,000 2011					
<b>Yale University</b> Grant & Contract Administration 47 College Street, Suite 203, P.O. Box 208047 New Haven, CT 06520-8047	PC	\$243,000	\$0	\$0	\$162,000
<i>Nanoparticle-mediated correction of the sickle cell disease mutation.</i>					
\$486,000 2011					
<b>Yale University</b> Grant & Contract Administration 47 College Street, Suite 203, P.O. Box 208047	PC	\$540,000	\$0	\$0	\$246,745

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
New Haven, CT 06520-8047 <i>International Clinical Research Fellowships for Medical Students</i> \$864,000 2012	PC	\$243,000	\$0	\$0	\$0
<b>Yale University</b> Grant & Contract Administration 47 College Street, Suite 203, P.O. Box 208047 New Haven, CT 06520-8047 <i>Genomic and Functional Analyses of Erythrocyte Hydration Pathways as Modifiers in Sickle Cell Disease</i> \$486,000 2012	PC	\$0	\$64,800	\$0	\$64,800
<b>Yale University</b> Grant & Contract Administration 47 College Street, Suite 203, P.O. Box 208047 New Haven, CT 06520-8047 <i>Genetics and pathobiology of mosaic skin disorders</i> \$64,800 2013	PC	\$0	\$486,000	\$0	\$243,000
<b>Yale University</b> Grant & Contract Administration 47 College Street, Suite 203, P.O. Box 208047 New Haven, CT 06520-8047 <i>Regulating Dendritic Cell Migration during Vaccination</i> \$486,000 2013	PC	\$0	\$10,000	\$0	\$10,000
<b>Grant Fdn dba, Hopital Albert Schweitzer Haiti</b> 2840 Liberty Ave Ste 201 Pittsburgh, PA 15222-4775 <i>General Support</i> \$10,000 2013	PC	\$0	\$20,000	\$0	\$20,000
<b>Grassroot Soccer Inc</b> 198 Church St	PC	\$0	\$0	\$0	\$0

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
Norwich, VT 05055 <i>General Support</i> \$20,000 2013					
<b>United States Fund for UNICEF</b> 125 Maiden Lane New York, NY 10038 <i>General Support</i> \$15,000 2013	PC	\$0	\$15,000	\$0	\$15,000
<b>TOTAL Medical Research \$11,421,000 \$14,294,000 \$100,000 \$13,101,745</b>					

**PHILANTHROPIC SECTOR/OTHER**

<b>Center for Effective Philanthropy Inc</b> 675 Massachusetts Ave., 7th fl Cambridge, MA 02139 <i>General Support</i> \$10,000 2013	PC	\$0	\$10,000	\$0	\$10,000
<b>Council on Foundations Inc.</b> 2121 Crystal Dr Ste 700 Arlington, VA 22202 <i>General Support</i> \$25,000 2013	PC	\$0	\$25,000	\$0	\$25,000
<b>Foundation Center</b> 79 Fifth Avenue New York, NY 10003 <i>General Support</i> \$20,000 2013	PC	\$0	\$20,000	\$0	\$20,000
<b>Grantmakers for Effective Organizations</b> 1725 DeSales St NW Ste 404	PC	\$0	\$9,750	\$0	\$9,750

## PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
Washington, DC 20036 <i>Membership</i> \$9,750 2013					
<b>Grants Managers Network Inc</b> 1666 K St NW STE 440 Washington, DC 20006 <i>Membership</i> \$5,000 2013	PC	\$0	\$5,000	\$0	\$5,000
<b>Independent Sector</b> 1602 L St NW, Ste 900 Washington, DC 20036 <i>Membership and Annual Conference support</i> \$42,500 2013	PC	\$0	\$42,500	\$0	\$42,500
<b>Philanthropy New York Inc</b> 79 Fifth Ave, 4th fl New York, NY 10003-3076 <i>Membership</i> \$28,000 2013	PC	\$0	\$28,000	\$0	\$28,000
<b>Technology Affinity Group Inc</b> 23 Briar Road Wayne, PA 19087 <i>Membership</i> \$2,500 2013	PC	\$0	\$2,500	\$0	\$2,500
<b>National Public Radio Inc</b> 1111 N Capitol St NE Washington, DC 20002 <i>Support for NPR's news coverage in DDCF program areas</i> \$487,500 2013	PC	\$0	\$487,500	\$0	\$487,500



**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<b>American Humane Association</b> 1400 16th Street NW, Suite 360 Washington, DC 20036 <i>General Support</i> \$10,000 2013	PC	\$0	\$10,000	\$0	\$10,000
<b>Hoops For Hope Inc</b> Po Box 895 East Hampton, NY 11937-0701 <i>General Support</i> \$15,000 2013	PC	\$0	\$15,000	\$0	\$15,000
<b>International Rescue Committee Inc</b> 122 East 42nd Street New York, NY 10168-0002 <i>General Support</i> \$10,000 2013	PC	\$0	\$10,000	\$0	\$10,000
<b>Oxfam-America Inc</b> 226 Causeway St., 5th Floor Boston, MA 02114 <i>General Support</i> \$23,909 2013	PC	\$0	\$23,909	\$0	\$23,909
<b>Yale University</b> Grant & Contract Administration 47 College Street, Suite 203, P.O. Box 208047 New Haven, CT 06520-8047 <i>Yale Law School</i> \$24,455 2013	PC	\$0	\$24,455	\$0	\$24,455
<b>TOTAL Philanthropic Sector/Other</b>		<b>\$0</b>	<b>\$713,614</b>	<b>\$0</b>	<b>\$713,614</b>

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<b>CROSS PROGRAM GRANTS</b>					
<b>Council On The Environment Inc</b> 51 Chambers St, Room 228 New York, NY 10007 <i>To sustain and evaluate Grow to Learn, a school gardens program in New York City's highest needs areas</i> \$100,000 2013	PC	\$0	\$100,000	\$0	\$100,000
<b>Hawaii International Film Festival</b> 680 Iwilei Road, Suite 100 Honolulu, HI 96817 <i>To support the New Frontiers Program: Expanding Boundaries of Art &amp; Media in Islamic Communities</i> \$40,000 2013	PC	\$0	\$40,000	\$0	\$40,000
<b>International Network For Cancer Treatment And Research Usa</b> 1 Research Court Rockville Maryland, MD 20850 <i>Support for African Cancer Registry Network (AFCRN)</i> \$100,000 2013	POF	\$0	\$100,000	\$0	\$100,000
<b>J F Kapnek Charitable Trust</b> 936 Dewing Ave, Suite E3 Lafayette, CA 94549 <i>To support early childhood development centers as an entry point of services for orphaned and vulnerable children</i> \$100,000 2013	PC	\$0	\$100,000	\$0	\$100,000
<b>Vivian Beaumont Theater Inc</b> 150 West 65th Street New York, NY 10023 <i>To support participation of directors from</i>	PC	\$0	\$27,500	\$0	\$27,500

**PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR**

Recipient and/or Purpose	Tax Status	Beginning Balance 2013	Approvals 2013	Amended 2013	Amount Paid 2013
<i>predominantly Muslim countries in the Lincoln Center Theater Directors Lab</i>					
\$27,500 2013					
<b>National Academy of Sciences</b> 500 Fifth St., NW Washington, DC 20001 <i>Support for a planning meeting: Investing in Young Children Globally (iYCG)</i>	PC	\$0	\$50,000	\$0	\$50,000
\$50,000 2013					
<b>New York Live Arts Inc</b> 219 West 19th Street New York, NY 10011 <i>To support The Suitcase Fund Festival</i>	PC	\$0	\$59,551	\$0	\$59,551
\$59,551 2013					
<b>TOTAL Cross Program Grants</b>		<b>\$0</b>	<b>\$477,051</b>	<b>\$0</b>	<b>\$477,051</b>
<b>GRAND TOTAL</b>		<b>\$49,986,058</b>	<b>\$81,408,001</b>	<b>\$4,065,370</b>	<b>\$61,615,591</b>

**PART XV, 3b - GRANTS APPROVED 2013  
FOR FUTURE PAYMENT**

**SUMMARY BY PROGRAM AREA**

Recipient and/or Purpose	Amount
TOTAL ARTS	16,618,676
TOTAL ENVIRONMENT/CLIMATE CHANGE	7,887,900
TOTAL MEDICAL RESEARCH	6,966,000
TOTAL CHILD WELL-BEING	5,646,600
TOTAL PHILANTHROPIC SECTOR/OTHER	-
TOTAL CROSS PROGRAM GRANTS	-
TOTAL AFRICAN HEALTH INITIATIVE	4,269,700
TOTAL ARTS INITIATIVE	13,264,547
<b>GRAND TOTAL</b>	<b>54,653,423</b>

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<b>AFRICAN HEALTH INITIATIVE</b>		
University of Cape Town Fund, Inc. 132 East 43rd St New York, NY 10017 <i>To support Implementation of large-scale health system strengthening interventions</i> \$644,700	SO I	\$394,700
<b>Trustees of Columbia Univ in City of New York</b> 630 West 168th Street New York, NY 10032 <i>Accelerating Millennium Development Goal Progress by Exchanging Health System Innovations between Tanzania and Ghana</i> \$17,089,400	PC	\$1,000,000
<b>Health Alliance International</b> 1107 NE 45th St Ste 350 Seattle, WA 98105 <i>Strengthening Integrated Primary Health Care and Workforce Training in Sofala Province, Mozambique</i> \$11,880,000	PC	\$1,375,000
<b>University of North Carolina at Chapel Hill</b> 104 Airport Drive, Ste 2200, Campus Box 1350 Chapel Hill, NC 27599 <i>Clinical Mentoring and Community Engagement to Improve Millennium Development Goals Health Outcomes in Lusaka Province of Zambia</i> \$12,837,300	PC	\$1,500,000
<b>TOTAL African Health</b>		<b>\$4,269,700</b>

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<b>ARTS</b>		
<b>American Repertory Theatre Company, Inc.</b> 64 Brattle Street Cambridge, MA 02138 <i>Adaptive Change Capacity Initiative</i> \$1,000,000	PC	\$950,000
<b>Chamber Music America</b> 99 Madison Ave, 5th Fl New York, NY 10016 <i>To support four rounds of the Doris Duke Jazz Ensembles Project</i> \$2,645,370	PC	\$90,370
<b>Chamber Music America</b> 99 Madison Ave, 5th Fl New York, NY 10016 <i>Research to alleviate administrative burdens faced by jazz musicians and presenters nationwide</i> \$67,500	PC	\$25,430
<b>Creative Capital Foundation</b> 65 Bleecker Street, 7th Floor New York, NY 10012 <i>To support grants and advisory services to Performing Artists</i> \$1,200,000	PC	\$1,200,000
<b>Creative Capital Foundation</b> 65 Bleecker Street, 7th Floor New York, NY 10012 <i>Supports three rounds of The Multi-Arts Production Fund</i> \$4,085,052	PC	\$4,085,052
<b>Emc Arts Inc</b> 127 West 122nd Street New York, NY 10027 <i>To support "Arts Leaders as Cultural Innovators" accelerating adaptive change in the arts sector</i>	PC	\$103,656

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
\$186,581		
<b>Fractured Atlas Productions Inc</b> 248 W 35th St FL 10 New York, NY 10001 <i>To support and further develop Artful.ly (a free ticketing a donor management software)</i>	PC	\$93,750
\$168,750		
<b>Fractured Atlas Productions Inc</b> 248 W 35th St FL 10 New York, NY 10001 <i>To support American Dance Abroad projects to expand opportunities for American dance artists and companies</i>	PC	\$122,645
\$225,000		
<b>Latino Theater Company</b> 514 S Spring St Los Angeles, CA 90013 <i>To support the launch of a National Latina/o Theater Encuentro ("Encounter") as part of the Latino Theater Commons</i>	PC	\$100,000
\$225,000		
<b>National Performance Network Inc</b> 866 Camp Street New Orleans, LA 70130 <i>To support NPN's Performing Arts Programs</i>	PC	\$2,826,720
\$2,826,720		
<b>New England Foundation for the Arts</b> 145 Tremont Street Boston, MA 02111 <i>To support the National Dance Project</i>	PC	\$4,186,124
\$5,184,758		
<b>Newport Festivals Foundation, Inc.</b> 150 East 69th Street #27K New York, NY 10021 <i>To support artistic programming and creation of the</i>	PC	\$290,000

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<i>George Wein/Doris Duke artistic programming reserve fund for the Newport Jazz Festival</i>		
\$300,000		
<b>On the Boards</b>	PC	\$270,000
PO Box 19515 Seattle, WA 98109		
<i>Adaptive Change Capacity Initiative</i>		
\$300,000		
<b>Oregon Shakespeare Festival Association</b>	PC	\$950,000
15 S Pioneer St Ashland, OR 97520		
<i>Adaptive Change Capacity Initiative</i>		
\$1,000,000		
<b>QCC-The Center for Lesbian Gay Bisexual Transgender Art &amp; Culture</b>	PC	\$56,250
c/o African American Art & Culture Complex 762 Fulton Street San Francisco, CA 94102		
<i>To support the Queer Arts Summit in San Francisco</i>		
\$67,500		
<b>Theatre Communications Group Inc.</b>	PC	\$40,000
520 8th Avenue 24th floor New York, NY 10018-4156		
<i>To support "Leading the Charge on Diversity and Inclusion," to study, record, and disseminate the history and progress of racial and ethnic diversity within the theatre field</i>		
\$225,000		
<b>Theatre Development Fund</b>	PC	\$16,488
520 8th Avenue, 24th Floor New York, NY 10018-4156		
<i>Finding new ways to connect playwrights and generative theatre artists with audiences</i>		



**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
\$78,750 2013		
<b>Wesleyan University</b> Middletown, CT 06459 <i>Adaptive Change Capacity Initiative</i> \$400,000	PC	\$370,000
<b>Woolly Mammoth Theatre Company</b> 641 D Street NW Washington, DC 20004 <i>Adaptive Change Capacity Initiative</i> \$800,000	PC	\$760,000
<b>Youth Speaks Inc</b> 1663 Mission Street Suite 604 San Francisco, CA 94103 <i>To support two convenings to address the emerging aesthetic, demographic, and political trends in the field of theater and performance</i> \$123,191	PC	\$82,191
<b>TOTAL Arts</b>		<b>\$16,618,676</b>
<b>ARTS INITIATIVE</b>		
<b>Kings Majestic Corporation</b> 651 Fulton St Brooklyn, NY 11217 <i>To support an exploration of new approaches to building demand for theater.</i> \$20,000	PC	\$20,000
<b>Bric Arts Media Bklyn Inc</b> 45 Main St, Ste 530 Brooklyn, NY 11201 <i>To support a performing artist residency to build demand for contemporary dance among the residents</i>	PC	\$92,500

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<p><i>of public housing developments surrounding BRIC Arts Media House in Brooklyn</i>                      \$155,000</p>		
<p><b>Brooklyn Arts Exchange Inc</b>                      421 Fifth Ave                      Brooklyn, NY 11215</p>	PC	\$20,000
<p><i>To support an exploration of new approaches to building demand for theater and contemporary dance</i>                      \$20,000</p>	PC	\$20,000
<p><b>Casita Maria Inc</b>                      928 Simpson Street                      Bronx, NY 10459</p>	PC	\$84,000
<p><i>To support an exploration of new approaches to building demand for jazz</i>                      \$20,000</p>	PC	\$40,000
<p><b>Childsplay, Inc.</b>                      900 S. Mitchell Dr                      Tempe, AZ 85281</p>	PC	\$40,000
<p><i>To support a performing artist residency to build demand for theatre among young Latino families</i>                      \$155,000</p>	PC	\$40,000
<p><b>Columbia College</b>                      1306 S Michigan Ave                      Chicago, IL 60605</p>	PC	\$40,000
<p><i>To support an exploration of new approaches to building demand for contemporary dance and jazz music</i>                      \$40,000</p>	PC	\$40,000
<p><b>Cornerstone Theater Company</b>                      708 Traction Ave                      Los Angeles, CA 90013</p>	PC	\$40,000
<p><i>To support an exploration of new approaches to building demand for theater</i>                      \$40,000</p>	PC	\$40,000
<p><b>Counterpulse</b></p>	PC	\$40,000

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
1310 Mission Street San Francisco, CA 94103 <i>To support an exploration of new approaches to building demand for dance and theater</i> \$40,000		
<b>Creative Capital Foundation</b> 65 Blecker Street, 7th Floor New York, NY 10012 <i>Support for the Doris Duke Performing Artists Awards Program</i> \$1,071,222	PC	\$440,767
<b>Danspace Project Inc</b> 131 East 10th Street New York, NY 10003 <i>To support an exploration of new approaches to building demand for contemporary dance</i> \$40,000	PC	\$40,000
<b>Doris Duke Foundation Inc.</b> 650 5th Ave fl 19 New York, NY 10019-6108 <i>To support the second cohort of Doris Duke Artist Awards</i> \$5,500,000	PF	\$4,138,484
<b>Doris Duke Foundation Inc.</b> 650 5th Ave fl 19 New York, NY 10019-6108 <i>To support the third cohort of Doris Duke Artist Awards</i> \$5,500,000	PF	\$5,500,000
<b>Doris Duke Foundation Inc.</b> 650 5th Ave fl 19 New York, NY 10019-6108 <i>To support the first cohort of Doris Duke Impact Awards</i> \$1,600,000	PF	\$1,600,000
<b>East West Players</b> 120 Judge John Aiso St. Los Angeles, CA 90012	PC	\$20,000

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<i>To support an exploration of new approaches to building demand for theater</i> \$20,000		
<b>Epic Theatre Center Inc</b> 55 W 39th St, Ste 302 New York, NY 10018	PC	\$97,976
<i>To support a performing artist residency to build demand for theater among NYC's Arab-American community through a series of workshops</i> \$155,000		
<b>The Flea Theater</b> 41 White St New York, NY 10013	PC	\$40,000
<i>To support an exploration of new approaches to building demand for live theater</i> \$40,000		
<b>Georgia Tech Research Corporation</b> Atlanta, GA 30332	SOI	\$61,250
<i>To support a performing artist residency to build demand for dance choreography through an app that enable groups to participate through their mobile phones</i> \$155,000		
<b>Illusion Theater and School Inc</b> 528 Hennepin Avenue, #704 Minneapolis, MN 55403	PC	\$40,000
<i>To support an exploration of new approaches to building demand for theater</i> \$40,000		
<b>Institute of Contemporary Art</b> 100 Northern Avenue Boston, MA 02210	PC	\$40,000
<i>To support an exploration of new approaches to building demand for contemporary dance</i> \$40,000		

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<b>Interact Inc</b> 2030 Sansom Street Philadelphia, PA 19103 <i>To support an exploration of new approaches to building demand for Asian American artists and audiences</i> \$20,000	PC	\$20,000
<b>Lookingglass Theatre Company</b> 875 N Michigan Ave, Ste 2200 Chicago, IL 60611 <i>To support a performing artist residency to transform how Lookingglass engages constituencies and develops stakeholders</i> \$155,000	PC	\$98,388
<b>Lower Manhattan Cultural Council</b> 125 Maiden Lane, 2nd FL New York, NY 10038 <i>To support an exploration of new approaches to building demand for contemporary dance at the East River Waterfront program.</i> \$40,000	PC	\$40,000
<b>The National Jazz Museum In Harlem</b> 104 East 126th Street, #2D New York, NY 10035 <i>To explore new approaches to building demand for jazz</i> \$20,000	PC	\$20,000
<b>New Group Inc</b> 410 W 42nd St New York, NY 10036 <i>To support an exploration of new approaches to building demand for theater by collaborating with students from diverse backgrounds</i> \$40,000	PC	\$40,000

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<b>On the Boards</b> PO Box 19515 Seattle, WA 98109 <i>To support an exploration of new approaches to building demand for dance</i> \$40,000	PC	\$40,000
<b>Open Channels New York Inc</b> 161A Chrystie Street, Ground Floor New York, NY 10002 <i>To support an exploration of new approaches to building for live, alternative theater and interdisciplinary performance</i> \$40,000	PC	\$40,000
<b>Painted Bride Art Center Inc</b> 230 Vine Street Philadelphia, PA 19106 <i>To support an exploration of new approaches to building demand across disciplines</i> \$40,000	PC	\$40,000
<b>Performance Space 122</b> 150 First Avenue New York, NY 10009 <i>To support an exploration of new approaches to building demand for contemporary dance and theater</i> \$40,000	PC	\$40,000
<b>Studio At 620 Inc</b> 620 First Ave S St. Petersburg, FL 33701 <i>To support a performing artist residency to increase demand for jazz, theater, and/or contemporary dance among Gen Y audiences</i> \$80,000	PC	\$23,105

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<b>Two River Theatre Company</b> 21 Bridge Avenue Red Bank, NJ 07701 <i>To support an exploration of new approaches to building demand for theater among Latino audiences</i> \$40,000	PC	\$40,000
<b>Regents University of California Los Angeles</b> 9911 W. Pico Blvd., Ste. 980 Los Angeles, CA 90095 <i>To support an exploration of new approaches to building demand for contemporary dance</i> \$40,000	PC	\$40,000
<b>Board of Trustees of the University of Illinois</b> 1501 S Oak St Champaign, IL 61820 <i>To support a performing artist residency to shift the paradigm of contemporary expectations about what art means through an expanded sense of community</i> \$155,000	PC	\$85,140
<b>University of Minnesota Foundation</b> McNamara Alumni Center 200 Oak Street SE Minneapolis, MN 55455 <i>To support a performing artist residency to increase demand for contemporary dance in Native Communities</i> \$155,000	PC	\$89,187
<b>University of Texas Foundation</b> PO Box 250 Austin, TX 78767-0250 <i>To support an exploration of new approaches to building demand through development of a Summer Institute for Contemporary and Experimental Black</i>	PC	\$20,000

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<i>Performance at the University of Texas at Austin</i>		
\$20,000		
<b>Woolly Mammoth Theatre Company</b>	PC	\$40,000
641 D Street NW		
Washington, DC 20004		
<i>To support an exploration of new approaches to theatre among African Americans age 18-25</i>		
\$40,000		
<b>Wooster Group, Inc.</b>	PC	\$92,500
PO Box 654		
Canal Street Station		
New York, NY 10013		
<i>To support a performing artist residency to increase demand</i>		
\$155,000		
<b>Yard Inc</b>	PC	\$20,000
131 Perry Street, #1A		
New York, NY 10014		
<i>To support an exploration of new approaches to building demand for contemporary dance, including components of tap/percussive dance, musical theater and applied media</i>		
\$20,000		
<b>Yerba Buena Center for the Arts</b>	PC	\$61,250
701 Mission St		
San Francisco, CA 94103-3138		
<i>To support a performing artist residency to increase demand for jazz programs</i>		
\$155,000		
<b>TOTAL Arts Initiative</b>		<b>\$13,264,547</b>



**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<b>CHILD WELL-BEING</b>		
<b>Boston Medical Center Corporation</b> One Boston Medical Center Place Boston, MA 02118 <i>To support the implementation of the Vital Village Community Engagement Network</i> \$1,300,000	PC	\$1,300,000
<b>Center for the Study of Social Policy</b> 1575 Eye St, NW, Ste 500 Washington, DC 20005 <i>Support for Institutionalizing the Strengthening Families Approach</i> \$750,000	PC	\$330,000
<b>Children and Family Futures Inc</b> 25371 Commercentre Drive, Suite 140 Lake Forest, CA 92630 <i>To support integration of parent training and additional family services in family drug courts</i> \$2,500,000	PC	\$2,010,350
<b>Children's Bureau of Southern California</b> 1910 Magnolia Avenue Los Angeles, CA 90007 <i>To support expansion of the Magnolia Community Initiative to a broader network</i> \$600,000	PC	\$600,000
<b>Childrens Outing Assn</b> 909 E North Ave Milwaukee, WI 53212 <i>Strengthening families to reduce child abuse and neglect</i> \$600,000	PC	\$350,000
<b>Common Ground Communities Inc</b> 125 Maiden Lane, Suite 16C New York, NY 10038	PC	\$1,000,000

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<i>Support for "backbone" infrastructure for coordinated service delivery to drive accountability for programs</i> \$1,000,000		
<b>National Foundation for the Centers for Disease Control &amp; Prevention</b> 55 Park Place, Suite 400 Atlanta, GA 30303 <i>To support engaging public health and community organizations in raising awareness about early childhood and health inequities</i> \$150,000	PC	\$56,250
<b>TOTAL Climate Change</b>		
		<b>\$0</b>

**ENVIRONMENT (including CLIMATE CHANGE)**

<b>Defenders of Wildlife</b> 1130 17th St, NW Washington, DC 20036 <i>To develop and inform a national policy expediting sensitive siting of renewable energy resources</i> \$4,066,750	PC	\$2,658,870
<b>Land Trust Alliance Incorporated</b> 1660 L Street NW, Suite 1100 Washington, DC 20036 <i>To support the Land Trust Excellence Program</i> \$1,000,000	PC	\$325,000
<b>The Nature Conservancy, Inc.</b> 4245 North Fairfax Drive Arlington, VA 22203 <i>To support application of resilience science in ecoregions located in Eastern North America, Northern California, and the Pacific Northwest</i> \$776,000	PC	\$276,000

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<b>Northern Arizona University Fdn Inc</b> 624 S. Knoles Old Main - (Bldg #10) Flagstaff, AZ. 86011 <i>Doris Duke Conservation Scholars Program</i> \$1,500,000	PC	\$647,280
<b>Open Space Conservancy Inc</b> 1350 Broadway, Suite 201 New York, NY 10018 <i>To support the Southeastern Resilient Landscapes Initiative</i> \$6,203,000	SOI	\$3,100,000
<b>University Of Florida Foundation Inc</b> W. University Avenue Gainesville, FL 32603 <i>Doris Duke Conservation Scholars Program</i> \$1,500,000	PC	\$520,900
<b>University of Washington Foundation</b> Seattle, WA <i>Doris Duke Conservation Scholars Program</i> \$1,500,000	PC	\$359,850
<b>TOTAL Environment</b>		<b>\$7,887,900</b>
<b>MEDICAL RESEARCH</b>		
<b>Baylor College of Medicine</b> One Baylor Plaza Houston, TX 77030 <i>Nitric oxide supplementation as a therapeutic intervention in argininosuccinic aciduria</i> \$486,000	PC	\$243,000
<b>Baylor College of Medicine</b> One Baylor Plaza Houston, TX 77030 <i>An integrated genomics approach to identifying</i>	PC	\$243,000

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<i>causal differences between edematous and non-edematous severe childhood malnutrition</i> \$486,000		
<b>Brigham and Women's Hospital Inc</b> 75 Francis Street Boston, MA 02115 <i>Fine-Mapping Causal Genetic Alleles in Rheumatoid Arthritis</i> \$486,000	PC	\$243,000
<b>Brigham and Women's Hospital Inc</b> 75 Francis Street Boston, MA 02115 <i>Examination of human samples with somatic mutations in hematopoietic stem cells to inform the biology of fetal hemoglobin induction</i> \$486,000	PC	\$243,000
<b>Case Western Reserve University</b> Cleveland, OH 44106 <i>'SCD Biochip': Towards a Simple and Reliable Way to Monitor Sickle Cell Disease</i> \$486,000	PC	\$243,000
<b>Children's Hospital Corporation</b> 300 Longwood Avenue Boston, MA 02115 <i>The Kisspeptin-Stimulation Test as a Novel Diagnostic Tool for the Evaluation of Delayed Puberty: Addressing an unmet Medical Need in Adolescents</i> \$486,000	PC	\$243,000
<b>Children's Hospital Corporation</b> 300 Longwood Avenue Boston, MA 02115 <i>Genome editing of the GWAS-marked BCL11A enhancer: an approach to HbF reactivation in sickle cell disease</i> \$486,000	PC	\$243,000

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<b>Childrens Research Institute</b> 111 Michigan Ave NW Washington, DC 20010 <i>Feasibility and efficacy of a home-based, computerized cognitive training program in pediatric sickle cell disease</i> \$486,000	PC	\$243,000
<b>Children's Hospital Medical Center</b> 3333 Burnet Avenue Cincinnati, OH 45229 <i>Gene Therapy for Sickle Cell Anemia</i> \$486,000	PC	\$324,000
<b>Loyola University of Chicago</b> 2160 S First Ave Maywood, IL 60153 <i>Risk Stratification for Clinical Severity of Sickle Cell Disease in Nigeria and Assessment of Efficacy and Safety during Treatment with Hydroxyurea</i> \$486,000	PC	\$243,000
<b>Mount Sinai School Of Medicine</b> One Gustave L. Levy Place New York, NY 10029 <i>Ketamine Plus Lithium as a Novel Pharmacotherapeutic Strategy in Treatment-Resistant Depression</i> \$486,000 2013	PC	\$243,000
<b>Board of Trustees of Leland Stanford Jr University</b> Stanford, California 94305 <i>Systems immunology to understand antiviral deficits during pregnancy</i> \$486,000	PC	\$243,000
<b>Board of Trustees of Leland Stanford Jr University</b> Stanford, California 94305 <i>Development of AAKI and GAK Inhibitors for Combating Drug-Resistant HIV</i>	PC	\$243,000

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
\$486,000		
<b>Regents University of California Los Angeles</b> 9911 W. Pico Blvd., Ste. 980 Los Angeles, CA 90095 <i>Site-Specific Gene Modification in Hematopoietic Stem Cells for Sickle Cell Disease</i> \$486,000	PC	\$486,000
<b>University Of California San Francisco</b> 505 Parnassus Ave M696 San Francisco, CA 94118 <i>Electrocorticography based control of an anthropomorphic upper limb exoskeleton</i> \$486,000	PC	\$243,000
<b>University Of California San Francisco</b> 505 Parnassus Ave M696 San Francisco, CA 94118 <i>Personalizing Treatment for Pancreatic Cancer Patients</i> \$486,000	PC	\$243,000
<b>State University of Iowa Foundation</b> 317 Seashore Hall West Iowa City, IA 52242 <i>Molecular Genetic Mechanisms of Calpain-5 Autoimmunity</i> \$486,000	PC	\$243,000
<b>Regents of the University of Michigan</b> 2074 Fleming Building Ann Arbor, MI 48109-1115 <i>The genetics of fibromuscular dysplasia and associated aneurysmal disease</i> \$486,000	PC	\$243,000
<b>Regents of the University of Michigan</b> 2074 Fleming Building Ann Arbor, MI 48109-1115 <i>Viral mutant networks and effective influenza control</i> \$486,000	PC	\$243,000

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<b>Regents of the University of Michigan</b> 2074 Fleming Building Ann Arbor, MI 48109-1115 <i>Influence of risk alleles on the composition of the inflammatory network in psoriasis and prioritization for functional studies</i> \$486,000	PC	\$243,000
<b>University of Minnesota Foundation</b> McNamara Alumni Center 200 Oak Street SE Minneapolis, MN 55455 <i>Novel use Of Hydroxyurea in an African Region with Malaria</i> \$486,000	PC	\$324,000
<b>University of North Carolina at Chapel Hill</b> 104 Airport Drive, Ste 2200, Campus Box 1350 Chapel Hill, NC 27599 <i>The effects of hypoxia on red blood cell-dependent thrombin generation in sickle cell disease</i> \$486,000	PC	\$243,000
<b>University of North Carolina at Chapel Hill</b> 104 Airport Drive, Ste 2200, Campus Box 1350 Chapel Hill, NC 27599 <i>Targeting Neutrophil Extracellular Traps in Sickle Cell Disease</i> \$486,000	PC	\$243,000
<b>Trustees of the University of Pennsylvania</b> 3451 Walnut Street Philadelphia, PA 19104-6205 <i>A role for peripheral blood monocytes in regulating tumor biology in pancreatic cancer</i> \$486,000	PC	\$243,000
<b>University of Utah</b> Salt Lake City, UT 84112 <i>Humans as a model organism to study metabolic</i>	PC	\$243,000

**PART XV, 3b - GRANTS APPROVED 2013 FOR FUTURE PAYMENT**

Recipient and/or Purpose	Tax Status	Amount
<i>changes in heart failure and myocardial recovery</i> \$486,000		
<b>William Marsh Rice University</b> 3333 Burnet Avenue, Cincinnati, OH 45229 <i>Accurate and Inexpensive Point-of-Care</i> <i>Diagnosis of Sickle Cell Anemia</i> \$486,000	PC	\$243,000
<b>Yale University</b> Grant & Contract Administration 47 College Street, Suite 203, P.O. Box 208047 New Haven, CT 06520-8047 <i>Regulating Dendritic Cell Migration during Vaccination</i> \$486,000	PC	\$243,000
<b>TOTAL Medical Research</b>		<b>\$6,966,000</b>
<b>PHILANTHROPIC SECTOR/OTHER</b>		
<b>TOTAL Philanthropic Sector/Other</b>		<b>\$0</b>
<b>CROSS PROGRAM GRANTS</b>		
<b>TOTAL Cross Program Grants</b>		<b>\$0</b>
<b>GRAND TOTAL</b>		<b>\$54,653,423</b>



**Doris Duke Charitable Foundation**  
**Form 990-PF - Return of Private Foundation**  
**FYE: 12/31/2013**  
**Direct Charitable Activities**  
**Attachment 16**

	<u>2013</u>
2013 Africa Health Initiatives Annual Meeting	57,217
2013 Africa Health Initiatives Writing Workshop	12,535
2013 Clinical Scientist Meeting	27,359
2013 Clinical Research Fellows Meetings	28,969
2013 Clinical Research Fellows Mentorships	6,000
2013 National Projects	6,000
2013 National Sector Meeting	6,974
2013 Artist Residency Project	10,192
2013 Conservation Research Program Meeting	14,992
<b>Total</b>	<b><u><u>170,238</u></u></b>

**Doris Duke Charitable Foundation**  
**Form 990-PF**  
**Part IX-A: Summary of Direct Charitable Activities**  
**FYE: 12/31/2013**

***Environment Activities***

Doris Duke was a lifelong environmentalist with a keen interest in conservation. In her will, she expressed her interest in "the preservation of wildlife, both flora and fauna" and in supporting "ecological endeavors." The Doris Duke Charitable Foundation Environment Program is committed to enabling communities to protect and manage wildlife habitat and create efficient built environments. The Foundation supports environmental initiatives and partners with other tax-exempt organizations, such as The Nature Conservancy, in the pursuit of land conservation.

The Environment Program strives to accomplish its mission through the following strategies:

- Accelerate wildlife habitat conservation in an era of climate change - Protect landscapes that exhibit climate change resilience and help wildlife adapt to the impacts of climate change.
- Reduce impacts on the landscape from increased energy development and energy demand - Facilitate the sensitive siting of energy infrastructure and reduce energy demand by increasing energy efficiency in the buildings sector.
- Encourage land stewardship and sustainability in the Tri-State area - Support local efforts to manage wildlife habitat and create efficient, healthy, and vibrant built and natural environments in the greater New York City area.
- Help build a clean-energy economy – Support the research and analysis needed to develop government policies to foster technological innovation in the energy sector and accelerate the emergence of tomorrow's clean-energy technologies. Grants in this category were made through the Environment Program's Climate Change Initiative, which made its final grants in 2013.

***Medical Research Activities***

Doris Duke was a significant supporter of medical research, making contributions to hospitals and research centers throughout her life. In her will, she expressed her interest in supporting "medical research designed to effectuate cures of major diseases."

The mission of the Medical Research Program is to support the prevention, treatment and cure of human disease. The Medical Research Program strives to accomplish its mission through the following strategy:

- Clinical Research  
This strategy supports competitive award programs that build the clinical research career ladder and expand clinical research frontiers to advance the translation of biomedical discoveries into applications that improve human health.

The foundation also seeks to catalyze significant advances in strengthening health systems in sub-Saharan Africa through a special ten-year grant-making initiative. The African Health Initiative's strategy supports

implementation research and builds research capacity to improve health and strengthen regional health systems in sub-Saharan Africa.

### *Child Well-Being*

Doris Duke took a special interest in the needs of children, supporting nearly 85 child welfare organizations during her life. Her support included contributions to orphanages, camps, mentor programs, little league teams, hospitals, and boys and girls clubs. In her will, Doris Duke expressed her interest in "the prevention of cruelty to children."

The mission of the Child Well-being Program is to promote children's healthy development and protect them from abuse and neglect.

To accomplish this mission, the program favors a public health approach and is especially interested in place-based, whole-community approaches that seek to engage a range of participants from various disciplines to ensure that family well-being is supported by strong communities.

### *The Arts*

Doris Duke, in her will, expressed an interest in assisting "actors, dancers, singers, musicians and other artists of the entertainment world in fulfilling their ambitions and providing opportunities for the public presentation of their arts and talents." The Doris Duke Charitable Foundation supports this interest by focusing its support on contemporary dance, jazz and theatre artists, and the organizations that nurture, present and produce them.

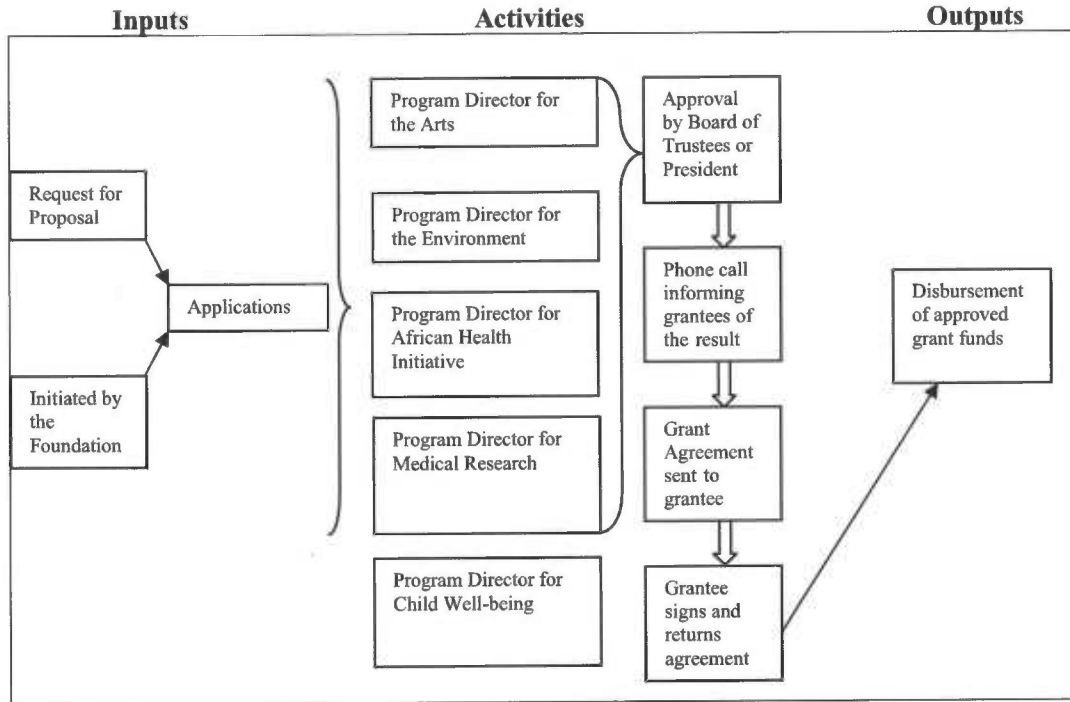
The mission of the Arts Program is to support performing artists with the creation and public performance of their work. The Arts Program accomplishes this mission through the following strategies:

- **Artistic Creation & Distribution** – Through national competitive initiatives administered by intermediary organizations, the foundation supports commissioning, production and presentation of new work in each of its fields of interest. Typically these re-granting programs offer additional benefits to supported artists, including professional development, networking opportunities and participation in conferences and other meetings.
- **Support for Organizations** – To complement its support for artistic creation and distribution, the Arts Program works to build strong organizations to serve performing artists. Through competitive initiatives administered by intermediary organizations, the foundation offers grants to support planning, technical assistance and implementation for bold, innovative approaches to addressing current issues affecting the performing arts: the impact of technology, loss of audiences and/ or changes in leadership.
- **National Sector Building** – Recognizing DDCF's role as a national foundation, the Arts Program supports activities that will build strong national performing arts fields. The Arts Program directly supports national organizations critical to the health of dance, jazz, presenting and theatre, as well as national projects that have the potential to improve the health of a given field.
- **Doris Duke Performing Artists Initiative** – This is a ten-year program, launched in 2011, to empower, invest in and celebrate artists by offering flexible, multi-year funding for artists in contemporary dance, theatre, jazz and related interdisciplinary work.

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The \$170,238 in direct charitable expenditures listed in Part IX-A represent amounts paid by the Doris Duke Charitable Foundation to support various meetings, conferences, seminars and other climate, conservation and/or medical research endeavors. Further information about each individual program listed in the attached schedule is available upon request.

**Doris Duke Charitable Foundation  
Grants Process  
December 31, 2013**



The mission of the Doris Duke Charitable Foundation (DDCF) is to improve the quality of people’s lives through grants supporting the performing arts, environmental conservation, medical research and child well-being, and through preservation of the cultural and environmental legacy of Doris Duke’s properties.

Grant Development and Approval

Grants are either competitively awarded through Request for Proposal (RFP) processes or are initiated by the Foundation. Grants and proposed grant competitions are presented to the Board of Trustees at one of the four meetings that take place during the year. All grants must be approved by the Board of Trustees with the exception of the Program Fund, Cross-Program Fund, Trustee recommended grants, and grants selected through competitive, peer-reviewed program initiatives. In these cases, the Board approves a total amount for the program initiative or fund and delegates to DDCF’s President Edward Henry the authority to approve grants. Authority for Program Fund and Cross-Program Fund grants is sought from the Board each November for the following year. Program Fund and Cross-Program Fund grants must be for purposes that are in keeping with the mission of the Foundation; the amount of these grants is limited both on a per-grant basis (\$100,000 or less) and cumulative annual basis for each program (up to 5% of each Program’s annual payout budget may be awarded as Program Fund grants). Additionally, the Board authorized the President to approve up to \$500,000 in Program Fund grants for the African Health Initiative (with individual grants totaling no more than \$100,000), with funding to come from the initiative’s annual grants budget. All Program Fund and Cross-Program Fund grants are developed by staff, undergo routine due diligence review, and are approved by the President.

Each Program Fund and Cross-Program Fund grant totaling more than \$50,000 is discussed at a Staff Program Review meeting prior to approval. Finally, in 2013, six Trustees recommended grants totaling \$393,456; the grant purpose and organizations are vetted by staff and approved by the Board Chair prior to grant award.

***Grants solicited by the Foundation.*** Edward Henry (President) is actively involved in the entire grants cycle. Prior to performing all the research on a potential grantee, the Program Director discusses the organization or proposed project with Mr. Henry. Based on this discussion, the research will begin or the project will be set aside.

Once a completed grant application is returned to DDCF, the Program Director and staff members review it to ensure that the organization meets DDCF requirements and that the program description is in line with DDCF's mission and program objectives. The application is also reviewed by the Program Associate for Grants Administration to ensure that all the proper documentation has been received and the organization is a qualified not-for-profit. Each proposed grant is entered into GIFTS, the Foundation's grants management database.

Once the submitted application has been reviewed and approved, the Program Director compiles a docket for presentation to the Board of Directors that describes the potential grantee organization and its proposed use of funds. Prior to the Board meeting, the Program Director presents the information to senior management and program staff at a Program Review session and at a "practice" session for the Board meeting. During the meeting, the senior staff critiques the written summary and the presentation, and appropriate changes are made, as necessary.

At the next Board meeting, the docket will be presented to the Board for their approval. The Board's decisions regarding proposed grants are documented in the Board of Director Minutes. After a grant has been approved by the board, Grants Administration staff records the grant as "Approved" in GIFTS and the GIFTS system assigns a grant number. Grants Administration sends a monthly report detailing grants approved to Finance and the Accounting Manager prepares a journal entry to record the liability.

***Grants awarded through competitive Requests for Proposals.*** Once the Board approves funds for a grant competition and delegates authority to approve specific grants identified through that competition to the DDCF President, program staff release a Request for Proposals (RFP). The RFP specifies the purpose of the funding available through the award program, the timeline for application, the selection process, and expectations of projects selected. Competitions may involve one or two stages of application (i.e., letter of interest followed by a full proposal or just a full proposal) with staff and/or panel review at the first stage and panel review at the second stage. Applications are brought into GIFTS via on-line forms. Review panels score applications in accordance with the criteria specific to the grant program and recommend a roster of grants to the Foundation. With authority delegated from the Board, the President approves grants to the projects selected via the competition. Grants Administration staff conducts a standard pre-grant agreement due diligence of each institution approved for funding.

#### Grant Award

Once the Board or President approves a grant, the appropriate DDCF program staff member notifies the organization by telephone. The Program Associate for Grants Administration generates a draft grant agreement using the appropriate GIFTS template (grant agreement templates are stored in GIFTS and merged with the GIFTS grant data to create the grant agreement). The Program Director and Director of Grants Management review and refine the grant agreement until they are satisfied that it is complete. Once the Director of Grants Management has approved the grant agreement and award letter and verified that all grant

documentation is in order, the agreement and award letter is forwarded to the President for signature.

After the President signs the award letter and the grant agreement, they are sent to the grantee organization for electronic signature using Adobe's EchoSign product. The grant agreement specifies the total funds awarded, payment schedule, use of the funds, performance and financial reporting requirements, and various other disclosures regarding DDCF's rights (for example, to publicly announce the grant). If the grantee organization agrees to the terms of the agreement, an authorized representative of the organization will sign electronically and return the agreement to the DDCF via EchoSign. When the fully executed grant agreement is received by the Foundation, the first grant payment is initiated by Grants Administration and forwarded to Finance for processing.

Grant Payment Process

Once the Grants Manager has determined that all requirements for a grant payment have been met, the grant payment process is initiated.

The Grants Associate confirms that ACH instructions are still correct and updates the GIFTS record if necessary. Then, Grants Administration exports the grantee data from GIFTS to an Excel spreadsheet which is emailed to the Accounting Manager for upload to Great Plains (GP). The information is uploaded into GP where it is reviewed and approved as per the signing authority below. Once the approvals have been made, an ACH encrypted file is generated and transmitted to Bank of America via a secured transmission website. The transmission is then verified with the bank via a phone call to an ACH automated phone system. Once the payment has been sent, the grantee and appropriate program staff are alerted by email that the ACH has been executed.

*Grant signing authority requirements:*

Grant Payment Amount	Requirements	Signatories
between \$0 and \$9,999.99	Require any one signer listed	Peter Simmons Eileen Oberlander Edward Henry Deborah Close Jeffrey Heil
between \$10,000 and \$99,999.99	Require any two signers listed	Peter Simmons Eileen Oberlander Edward Henry Deborah Close Jeffrey Heil
Equal to or over \$100,000	Require two of the following individuals	Peter Simmons Edward Henry Eileen Oberlander

Grant Monitoring

Within each grant agreement, the grantee agrees to provide DDCF with certain interim and final financial and program performance information. The time period for this submission varies from grant to grant. To ensure that the DDCF funds are being used in accordance with the grant agreement, the grantee is required to submit the following information:

- A narrative describing program accomplishments, challenges, and future plans
- An assessment of the project to date (have the original goals been achieved, were any program refinements necessary?)
- Copies of any literature, reports, or media coverage that was generated as a result of the grant
- A copy of the most recent audited financial statements
- A budget to actual comparison of use of the grant funds (indicating any budget modifications and explanations for budget variances)
- If a multi-year grant, a revised budget and budget narrative for the upcoming year (if warranted)
- Notification to DDCF of any changes to their board, senior staff, or tax-exempt status.

This information is required whether the grant period is one year or multi-year. If the grant is multi-year, the subsequent disbursements will not be made until this information has been received, reviewed, and approved by DDCF staff.

This information will be submitted to DDCF and reviewed by the Program Director and Grants Administration staff to ensure that the grantee has been using DDCF's funds for the purpose outlined in their grant agreement. This includes determining if certain project milestones have been met, whether funds have been spent reasonably and within program guidelines, and whether the project has benefited the items/individuals targeted in the agreement. Additionally, the financial information is reviewed by the Director of Grants Management or Program Associate for Grants Management, and either the Program Director or Program Officer – and, as necessary, by a member of the Finance Department – to ensure that the grantee is not experiencing any financial difficulties.

Once this information has been evaluated and approved by DDCF, the payment request is prepared for multi-year grants or, for single year grants, the file will be closed.

#### Computer information systems

The Foundation uses GIFTS, a grants management database system purchased from MicroEdge, Inc. to track detailed information about each application for funding and each grant approved. Applications are received through an internet grants application module and retrieved into the database and their status is tracked according to their progress through the review, approval or declination, and disbursement and reporting process. The database is also used to generate grant related documentation, including (but not limited to) grant award letters and grant agreements, payment request memoranda, and reporting review checklists. GIFTS also provides reports that enable the user to project the upcoming disbursements, determine when financial or other reporting information is required, track grant expiration, and track activities related to each grant.



Doris Duke Charitable Foundation  
 Form 990-PF  
 FYE 12/31/2013

Form 990-PF, Part I, Line 6(a) & Part IV Statement  
 Attachment 19

<u>Asset Class</u>	<u>Realized Gains</u>
Short Term Investments	15,079
Fixed Income Investments	17,101,609
Marketable Equity Alternative Investments	17,908,165
Marketable Commingled Equity Investments	(28,832,946)
Marketable Distressed/High Yield Alternatives	3,651,365
Marketable Long/Short Equity Alternatives	3,292,346
Marketable Multi-Strategy Alternatives	36,233,303
Non-Exchange traded Buyout/Growth Funds	6,420,512
Non-Exchange Traded Distressed Funds	680,410
Non-Exchange Traded Fund of Funds	7,820,225
Non-Exchange Traded Real Assets	689,259
Non-Exchange Traded Venture Capital Funds	10,784,977
Allocation to Doris Duke Foundation	(198,316)
Capital Gains/Losses Per Books	<u>75,565,988</u>
Limited Partnership Investments	17,040,653
Less Amount Reported on Form 990-T	(405,102)
Total Capital Gains - Part I, Line 6a	<u>92,201,539</u>

A detailed schedule of the Foundation's capital gains and losses by specific funds held is available on request.