

Form **990-PF**Department of the Treasury  
Internal Revenue Service**Return of Private Foundation**  
or Section 4947(a)(1) Nonexempt Charitable Trust  
Treated as a Private Foundation

Note. The foundation may be able to use a copy of this return to satisfy state reporting requirements

OMB No 1545-0052

**2011**

For calendar year 2011 or tax year beginning

, and ending

Name of foundation <b>THE F.B. HERON FOUNDATION</b>		A Employer identification number <b>13-3647019</b>
Number and street (or P.O. box number if mail is not delivered to street address) <b>100 BROADWAY, 17TH FLOOR</b>		B Telephone number <b>(212) 404-1800</b>
City or town, state, and ZIP code <b>NEW YORK, NY 10005</b>		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ <b>240,497,151.</b> (Part I, column (d) must be on cash basis.)		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
J Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____		

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		8,798.	8,798.		Statement 1
4 Dividends and interest from securities		6,922,884.	6,815,997.		Statement 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		2,445,985.			
b Gross sales price for all assets on line 6a		52,857,380.			
7 Capital gain net income (from Part IV, line 9)			1,992,385.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less: Cost of goods sold					
c Gross profit or (loss)					
11 Other income		10,944,076.	0.		Statement 3
12 Total. Add lines 1 through 11		-1,566,409.	8,817,180.		
13 Compensation of officers, directors, trustees, etc.		522,700.	131,410.		391,290.
14 Other employee salaries and wages		831,752.	152,106.		679,646.
15 Pension plans, employee benefits		387,422.	80,750.		296,082.
16a Legal fees Stmt 4		25,418.	10,020.		15,684.
b Accounting fees Stmt 5		62,825.	21,361.		57,305.
c Other professional fees Stmt 6		748,517.	514,453.		273,248.
17 Interest					
18 Taxes Stmt 7		170,000.	0.		0.
19 Depreciation and depletion		4,539.	949.		
20 Occupancy		324,220.	67,762.		256,528.
21 Travel, conferences, and meetings		71,795.	16,347.		53,421.
22 Printing and publications		705.	147.		794.
23 Other expenses Stmt 8		106,630.	42,159.		65,239.
24 Total operating and administrative expenses. Add lines 13 through 23		3,256,523.	1,037,464.		2,089,237.
25 Contributions, gifts, grants paid		6,339,100.			8,279,100.
26 Total expenses and disbursements. Add lines 24 and 25		9,595,623.	1,037,464.		10,368,337.
27 Subtract line 26 from line 12		-11,162,032.			
a Excess of revenue over expenses and disbursements			7,779,716.		
b Net investment income (if negative, enter -0-)					
c Adjusted net income (if negative, enter -0-)				N/A	

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LHA For Paperwork Reduction Act Notice, see instructions.

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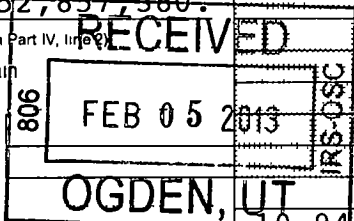
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2011.05030 THE F.B. HERON FOUNDATION

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
				(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing		200.	201.	201.
	2	Savings and temporary cash investments		2,812,610.	4,158,941.	4,158,941.
	3	Accounts receivable	487,577.			
		Less allowance for doubtful accounts		525,391.	487,577.	487,577.
	4	Pledges receivable				
		Less allowance for doubtful accounts				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons				
	7	Other notes and loans receivable				
		Less allowance for doubtful accounts				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges		28,036.	45,650.	45,650.
	10a	Investments - U.S. and state government obligations	Stmt 9	48,531,265.	46,689,167.	46,689,167.
	b	Investments - corporate stock	Stmt 10	156,725,662.	151,739,967.	151,739,967.
	c	Investments - corporate bonds	Stmt 11	15,340,807.	9,406,185.	9,406,185.
11	Investments - land, buildings, and equipment basis					
	Less accumulated depreciation					
12	Investments - mortgage loans					
13	Investments - other	Stmt 12	12,745,535.	13,053,403.	13,053,403.	
14	Land, buildings, and equipment basis	649,477.				
	Less accumulated depreciation	Stmt 13	644,938.	9,078.	4,539.	4,539.
15	Other assets (describe)	Statement 14)	16,971,179.	14,911,521.	14,911,521.	
16	Total assets (to be completed by all filers)		253,689,763.	240,497,151.	240,497,151.	
Liabilities	17	Accounts payable and accrued expenses		226,412.	167,324.	
	18	Grants payable		3,205,000.	1,340,000.	
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, and other disqualified persons				
	21	Mortgages and other notes payable				
	22	Other liabilities (describe)	Statement 15)	260,450.	153,958.	
23	Total liabilities (add lines 17 through 22)		3,691,862.	1,661,282.		
Net Assets or Fund Balances		Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.	<input checked="" type="checkbox"/>			
	24	Unrestricted		249,997,901.	238,835,869.	
	25	Temporarily restricted				
	26	Permanently restricted				
		Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.	<input type="checkbox"/>			
	27	Capital stock, trust principal, or current funds				
	28	Paid-in or capital surplus, or land, bldg., and equipment fund				
29	Retained earnings, accumulated income, endowment, or other funds					
30	Total net assets or fund balances		249,997,901.	238,835,869.		
31	Total liabilities and net assets/fund balances		253,689,763.	240,497,151.		

## 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	249,997,901.
2	Enter amount from Part I, line 27a	2	-11,162,032.
3	Other increases not included in line 2 (itemize)	3	0.
4	Add lines 1, 2, and 3	4	238,835,869.
5	Decreases not included in line 2 (itemize)	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	238,835,869.

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

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co.)		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
<b>1a</b>				
<b>b</b> See Attached Statements				
<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> 52,857,380.		50,864,995.	1,992,385.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
<b>a</b>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			1,992,385.

<b>2</b> Capital gain net income or (net capital loss) <span style="border-left: 1px solid black; padding-left: 5px;">If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7</span>		<b>2</b>	1,992,385.
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter -0- in Part I, line 8		<b>3</b>	N/A

**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 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))
2010	12,908,133.	219,747,335.	.058741
2009	18,333,660.	203,446,916.	.090115
2008	19,692,453.	256,759,533.	.076696
2007	11,730,721.	292,815,513.	.040062
2006	15,380,735.	269,887,361.	.056989

<b>2</b> Total of line 1, column (d)	<b>2</b>	.322603
<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>	.064521
<b>4</b> Enter the net value of noncharitable-use assets for 2011 from Part X, line 5	<b>4</b>	233,601,985.
<b>5</b> Multiply line 4 by line 3	<b>5</b>	15,072,234.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	77,797.
<b>7</b> Add lines 5 and 6	<b>7</b>	15,150,031.
<b>8</b> Enter qualifying distributions from Part XII, line 4	<b>8</b>	11,166,349.

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.

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

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary-see instructions)	1	155,594.
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0.
3	Add lines 1 and 2	3	155,594.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.
5	<b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-	5	155,594.
6	Credits/Payments		
a	2011 estimated tax payments and 2010 overpayment credited to 2011	6a	224,830.
b	Exempt foreign organizations - tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	224,830.
8	Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8	38.
9	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>	9	
10	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>	10	69,198.
11	Enter the amount of line 10 to be <b>Credited to 2012 estimated tax</b> <input type="checkbox"/> <b>Refunded</b> <input type="checkbox"/>	11	0.

**Part VII-A Statements Regarding Activities**

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input type="checkbox"/> \$ 0. (2) On foundation managers <input type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV.	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> <u>NY</u>		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2011 or the taxable year beginning in 2011 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>WWW.HERONFDN.ORG</u>	13	X	
14	The books are in care of ► <u>The Foundation</u> Telephone no. ► <u>(212) 404-1800</u> Located at ► <u>100 BROADWAY, 17TH FLOOR, NEW YORK, NY</u> ZIP+4 ► <u>10005</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► <u>15</u> N/A			
16	At any time during calendar year 2011, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ►	16	Yes	No
				X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly)		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here ► <input type="checkbox"/>	1b	X
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2011?	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(i)(3) or 4942(j)(5))		
a At the end of tax year 2011, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011? If "Yes," list the years ► _____	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	N/A	2b
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ► _____		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If "Yes," did it have excess business holdings in 2011 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 2011.)	N/A	3b
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a
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 2011?		4b
		X

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**Part VII-B** Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5a** During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☒ Yes ☐ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?  
Organizations relying on a current notice regarding disaster assistance check here☐**5b****X****c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?☒ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d)

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

If "Yes" to 6b, file Form 8870

☐ Yes ☒ No**7b****7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?**N/A****b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Statement 16		522,700.	111,942.	0.

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE SCHEDULE ATTACHED #17	0.00	683,742.	180,994.	0.

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

**2**

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**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
CAMBRIDGE ASSOCIATES 100 SUMMER STREET, BOSTON, MA 02110	INVESTMENT ADVISORY	176,901.
BLACKROCK GLOBAL INVESTORS - ONE INTERNATIONAL PLACE - 45TH FLOOR, BOSTON, MA	INVESTMENT ADVISORY	152,045.
S CURNOW , NEW YORK, NY	CONSULTING	95,022.
COMMUNITY CAPITAL MANAGEMENT 2500 WESTON ROAD, WESTON, FL 33331	INVESTMENT ADVISORY	76,674.

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

0

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

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1 PROVIDING ASSISTANCE TO OTHER CHARITABLE ORGANIZATIONS THRU BOARD SERVICE, CONVENING CONFERENCES AND MEETINGS AND PROVIDING DIRECT TECHNICAL ASSISTANCE	337,477.
2	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 SEE SCHEDULE ATTACHED #20	798,012.
2	
All other program-related investments See instructions	
3	
<b>Total.</b> Add lines 1 through 3	798,012.

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**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>	234,032,053.
<b>b</b>	Average of monthly cash balances	<b>1b</b>	2,582,566.
<b>c</b>	Fair market value of all other assets	<b>1c</b>	544,757.
<b>d</b>	Total (add lines 1a, b, and c)	<b>1d</b>	237,159,376.
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1e</b>	0.
<b>2</b>	Acquisition indebtedness applicable to line 1 assets	<b>2</b>	0.
<b>3</b>	Subtract line 2 from line 1d	<b>3</b>	237,159,376.
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	3,557,391.
<b>5</b>	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	233,601,985.
<b>6</b>	Minimum investment return. Enter 5% of line 5	<b>6</b>	11,680,099.

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

<b>1</b>	Minimum investment return from Part X, line 6	<b>1</b>	11,680,099.
<b>2a</b>	Tax on investment income for 2011 from Part VI, line 5	<b>2a</b>	155,594.
<b>b</b>	Income tax for 2011 (This does not include the tax from Part VI)	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b	<b>2c</b>	155,594.
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	11,524,505.
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	2,739,381.
<b>5</b>	Add lines 3 and 4	<b>5</b>	14,263,886.
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	0.
<b>7</b>	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	<b>7</b>	14,263,886.

**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>	10,368,337.
<b>b</b>	Program-related investments - total from Part IX-B	<b>1b</b>	798,012.
<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>	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	11,166,349.
<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	<b>5</b>	0.
<b>6</b>	Adjusted qualifying distributions. Subtract line 5 from line 4	<b>6</b>	11,166,349.

**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.

Form 990-PF (2011)



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

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				14,263,886.
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only			0.	
b Total for prior years		0.		
3 Excess distributions carryover, if any, to 2011				
a From 2006				
b From 2007				
c From 2008				2,373,285.
d From 2009				5,637,192.
e From 2010				
f Total of lines 3a through e	8,010,477.			
4 Qualifying distributions for 2011 from Part XII, line 4 ▶ \$ 11,166,349.				
a Applied to 2010, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2011 distributable amount				11,166,349.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a))	3,097,537.			3,097,537.
6 Enter the net total of each column as indicated below				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	4,912,940.			
b Prior years' undistributed income Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount - see instructions		0.		
e Undistributed income for 2010 Subtract line 4a from line 2a Taxable amount - see instr			0.	
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2012				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2006 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2012 Subtract lines 7 and 8 from line 6a	4,912,940.			
10 Analysis of line 9				
a Excess from 2007				
b Excess from 2008				
c Excess from 2009				4,912,940.
d Excess from 2010				
e Excess from 2011				





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

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
<b>1</b> Program service revenue					
a _____					
b _____					
c _____					
d _____					
e _____					
f _____					
g Fees and contracts from government agencies					
<b>2</b> Membership dues and assessments					
<b>3</b> Interest on savings and temporary cash investments			14	8,798.	
<b>4</b> Dividends and interest from securities			14	6,922,884.	
<b>5</b> Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
<b>6</b> Net rental income or (loss) from personal property					
<b>7</b> Other investment income			18	-10,944,076.	
<b>8</b> Gain or (loss) from sales of assets other than inventory			18	2,445,985.	
<b>9</b> Net income or (loss) from special events					
<b>10</b> Gross profit or (loss) from sales of inventory					
<b>11</b> Other revenue					
a _____					
b _____					
c _____					
d _____					
e _____					
<b>12</b> Subtotal. Add columns (b), (d), and (e)		0.		-1,566,409.	0.
<b>13</b> Total. Add line 12, columns (b), (d), and (e)				-1,566,409.	0.

(See worksheet in line 13 instructions to verify calculations )

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

[illegible]



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

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	PUBLICLY TRADED SECURITIES	P		
b	CLASS ACTION SETTLEMENTS	P		
c	INT. TERM CREDIT BOND FUND	P		01/05/11
d	EQUITY INDEX FUND	P		04/01/11
e	EQUITY INDEX FUND	P		06/01/11
f	EQUITY INDEX FUND	P		06/30/11
g	LONG TERM GOVT/CREDIT BOND FUND	P		09/02/11
h	EXTENDED EQUITY MARKET FUND	P		10/12/11
i	EQUITY INDEX FUND	P		12/09/11
j	BLACKROCK PASS THRU GAINS	P		
k	THRU URBAN AMERICA PARTNERSHIP			
l	THRU BAY AREA EQUITY FUND	P		
m	THRU BAY AREA SMART GROWTH	P		
n	THRU YUCAIPA CORP. INIT.	P		
o	THRU GENESIS WORKFORCE HOUSING			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 9,223,950.		9,279,541.	-55,591.
b 901.			901.
c 13,455,803.		13,583,360.	-127,557.
d 3,000,000.		2,696,547.	303,453.
e 2,000,000.		1,794,209.	205,791.
f 1,000,000.		928,998.	71,002.
g 7,586,000.		6,764,514.	821,486.
h 10,500,000.		11,999,094.	-1,499,094.
i 3,000,000.		2,819,479.	180,521.
j 2,196,108.			2,196,108.
k		14,433.	-14,433.
l 26,062.			26,062.
m 162,760.			162,760.
n 34,737.			34,737.
o		366,023.	-366,023.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Losses (from col (h)) Gains (excess of col (h) gain over col (k), but not less than "-0-")
a			-55,591.
b			901.
c			-127,557.
d			303,453.
e			205,791.
f			71,002.
g			821,486.
h			-1,499,094.
i			180,521.
j			2,196,108.
k			-14,433.
l			26,062.
m			162,760.
n			34,737.
o			-366,023.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7  
If (loss), enter "-0-" in Part I, line 7 }

2

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)  
If gain, also enter in Part I, line 8, column (c)  
If (loss), enter "-0-" in Part I, line 8

3

THE F.B. HERON FOUNDATION

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

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1a	THRU CANYON JOHNSON			
b	THRU HUNTINGTON			
c	TSLA STOCK	P		01/21/11
d	BOOK TAX DIFFERENCES	P		
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a		73,571.	-73,571.
b		179.	-179.
c	671,059.	91,447.	579,612.
d		453,600.	-453,600.
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col (h)) Gains (excess of col (h) gain over col (k), but not less than "-0-")
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			-73,571.
b			-179.
c			579,612.
d			-453,600.
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	1,992,385.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter "-0-" in Part I, line 8 }	3	N/A

## 2011 DEPRECIATION AND AMORTIZATION REPORT

Form 990-PF Page 1

990-PF

Asset No	Description	Date Acquired			Method	Life	Line No	Unadjusted Cost Or Basis	Bus % Excl	* Reduction In Basis	Basis For Depreciation	Accumulated Depreciation	Current Sec 179	Current Year Deduction
1	LEASEHOLD IMPROVEMENTS	05	01	00		.000	16	446,255.			446,255.	446,255.		0.
2	FURNITURE	05	01	00		.000	16	120,581.			120,581.	120,581.		0.
3	EQUIPMENT	05	01	00		.000	16	59,948.			59,948.	59,948.		0.
4	EQUIPMENT	06	30	08		.000	16	22,693.			22,693.	13,615.		4,539.
	* Total 990-PF Pg 1 Depr							649,477.		0.	649,477.	640,399.	0.	4,539.



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Form 990-PF Interest on Savings and Temporary Cash Investments Statement 1

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Source	Amount
MONEY MARKET	8,798.
Total to Form 990-PF, Part I, line 3, Column A	8,798.

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Form 990-PF Dividends and Interest from Securities Statement 2

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Source	Gross Amount	Capital Gains Dividends	Column (A) Amount
INT AND DIV ON SECURITIES	7,093,846.	0.	7,093,846.
PARTNERSHIP	-170,962.	0.	-170,962.
Total to Fm 990-PF, Part I, ln 4	6,922,884.	0.	6,922,884.

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Form 990-PF Other Income Statement 3

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Description	(a) Revenue Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income
CHANGE IN UNREALIZED APPRECIATION	-10,750,787.	0.	
PRI RESERVE FOR LOSS	-193,289.	0.	
Total to Form 990-PF, Part I, line 11	-10,944,076.	0.	

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Form 990-PF Legal Fees Statement 4

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Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
MILBANK TWEED - LEGAL	23,170.	9,278.		14,178.
THE WAGNER LAW GROUP	2,248.	742.		1,506.
To Fm 990-PF, Pg 1, ln 16a	25,418.	10,020.		15,684.

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Form 990-PF	Accounting Fees		Statement	5
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
OWEN J FLANAGAN & CO - ACCOUNTING	31,200.	10,608.		37,224.
O'CONNOR DAVIES ET AL - AUDIT	31,625.	10,753.		20,081.
To Form 990-PF, Pg 1, ln 16b	62,825.	21,361.		57,305.

Form 990-PF	Other Professional Fees		Statement	6
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
WORKLAB	5,813.	0.		4,688.
FRANCIE ZIMMERMAN	20,989.	1,049.		19,940.
PACHYDERM CONSULTING	26,915.	5,625.		21,290.
BLACKROCK INV ADVISORY	152,045.	152,045.		0.
CALVERT FOUNDATION	28,765.	0.		21,252.
OTHER	1,202.	0.		1,800.
CCM - INVESTMENT ADVISORY	76,674.	76,674.		0.
OPPORTUNITY FINANCE	30,000.	0.		30,000.
VOYAGER - INV ADV.	45,550.	45,550.		0.
STATE STREET - INV ADV	46,445.	46,445.		0.
PENSION SPECIALIST	11,432.	2,389.		9,025.
CAMBRIDGE ASSOC. - INV ADV	176,901.	176,901.		0.
HIGHLINE FINANCIAL	1,019.	0.		1,019.
S CURNOW - CONSULTING	95,022.	0.		102,638.
EXPLORE - CONSULTING	-1,023.	0.		30,707.
STANDARD & POOR'S	3,125.	1,563.		3,125.
URBAN ADVISORS	1,750.	0.		10,083.
NATIONAL COMMUNITY	5,040.	5,040.		0.
DENISE DE MAIO	15,000.	0.		13,000.
TONY PROSCIO	4,681.	0.		4,681.
DUNCAN CAMPBELL	1,172.	1,172.		0.
To Form 990-PF, Pg 1, ln 16c	748,517.	514,453.		273,248.

Form 990-PF	Taxes			Statement	7
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes	
FEDERAL EXCISE TAX	170,000.	0.		0.	
To Form 990-PF, Pg 1, ln 18	170,000.	0.		0.	

Form 990-PF	Other Expenses			Statement	8
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes	
CUSTODY FEES	25,762.	25,762.		0.	
EQUIPMENT AND EQUIPMENT REPAIR	23,612.	4,935.		18,677.	
OFFICE EXPENSES	19,777.	4,133.		16,440.	
INSURANCE	25,617.	5,354.		20,263.	
PAYROLL AND BENEFIT PROCESSING	2,899.	606.		2,293.	
FILING FEES	2,126.	0.		2,126.	
DUES	6,837.	1,429.		5,380.	
OTHER	0.	-60.		60.	
To Form 990-PF, Pg 1, ln 23	106,630.	42,159.		65,239.	

Form 990-PF	U.S. and State/City Government Obligations			Statement	9
Description	U.S. Gov't	Other Gov't	Book Value	Fair Market Value	
BLACKROCK LT GOVT/CREDIT BOND FUND	X		8,374,425.	8,374,425.	
US GOVERNMENT	X		19,987,176.	19,987,176.	
MUNICIPALS		X	18,327,566.	18,327,566.	
Total U.S. Government Obligations			28,361,601.	28,361,601.	
Total State and Municipal Government Obligations			18,327,566.	18,327,566.	
Total to Form 990-PF, Part II, line 10a			46,689,167.	46,689,167.	

Form 990-PF	Corporate Stock	Statement 10
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Description	Book Value	Fair Market Value
BLACKROCK EMERGING MARKETS	11,697,931.	11,697,931.
BLACKROCK EAFE EQUITY INDEX FUND	58,841,086.	58,841,086.
STATE STREET GLOBAL ADVISORS	24,072,015.	24,072,015.
BLACKROCK EQUITY INDEX FUND	43,813,599.	43,813,599.
BLACKROCK EXTENDED EQUITY MARKET	13,142,413.	13,142,413.
TSLA STOCK	0.	0.
PANDORA STOCK	172,923.	172,923.
Total to Form 990-PF, Part II, line 10b	151,739,967.	151,739,967.

Form 990-PF	Corporate Bonds	Statement 11
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Description	Book Value	Fair Market Value
BLACKROCK INT TERM CREDIT BOND FUND	7,608,110.	7,608,110.
CORPORATE ISSUES	1,798,075.	1,798,075.
Total to Form 990-PF, Part II, line 10c	9,406,185.	9,406,185.

Form 990-PF	Other Investments	Statement 12
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Description	Valuation Method	Book Value	Fair Market Value
MISSION RELATED INSURED DEPOSITS	COST	4,950,000.	4,950,000.
MISSION RELATED LIMITED PARTNERSHIPS	COST	8,103,403.	8,103,403.
Total to Form 990-PF, Part II, line 13		13,053,403.	13,053,403.

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Form 990-PF      Depreciation of Assets Not Held for Investment      Statement    13

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Description	Cost or Other Basis	Accumulated Depreciation	Book Value
LEASEHOLD IMPROVEMENTS	446,255.	446,255.	0.
FURNITURE	120,581.	120,581.	0.
EQUIPMENT	59,948.	59,948.	0.
EQUIPMENT	22,693.	18,154.	4,539.
Total To Fm 990-PF, Part II, ln 14	649,477.	644,938.	4,539.

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Form 990-PF      Other Assets      Statement    14

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Description	Beginning of Yr Book Value	End of Year Book Value	Fair Market Value
PROGRAM RELATED INVESTMENTS #20	16,971,179.	14,911,521.	14,911,521.
To Form 990-PF, Part II, line 15	16,971,179.	14,911,521.	14,911,521.

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Form 990-PF      Other Liabilities      Statement    15

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Description	BOY Amount	EOY Amount
DEFERRED RENT	104,313.	106,416.
DEFERRED FEDERAL EXCISE TAX	156,137.	47,542.
Total to Form 990-PF, Part II, line 22	260,450.	153,958.

Form 990-PF

Part VIII - List of Officers, Directors  
Trustees and Foundation Managers

Statement 16

Name and Address	Title and Avrg Hrs/Wk	Compen- sation	Employee Ben Plan Contrib	Expense Account
CLARA G MILLER C/O F.B. HERON FOUNDATION NEW YORK, NY 10005	PRESIDENT & DIRECTOR 40.00	275,000.	52,362.	0.
KATHLEEN STARR C/O F.B. HERON FOUNDATION NEW YORK, NY 10005	SECRETARY/TREASURER 40.00	205,200.	59,580.	0.
WILLIAM DIETEL C/O F.B. HERON FOUNDATION NEW YORK, NY 10005	DIRECTOR 3.00	0.	0.	0.
BUZZ SCHMIDT C/O F.B. HERON FOUNDATION NEW YORK, NY 10005	CHAIRMAN 4.00	0.	0.	0.
WILLIAM MC CALPIN C/O F.B. HERON FOUNDATION NEW YORK, NY 10005	DIRECTOR (ACTING PRESIDENT 40.00	42,500.	0.	0.
JAMES JOSEPH C/O F.B. HERON FOUNDATION NEW YORK, NY 10005	DIRECTOR 3.00	0.	0.	0.
JOHN OTTERLEI C/O F.B. HERON FOUNDATION NEW YORK, NY 10005	DIRECTOR 3.00	0.	0.	0.
Totals included on 990-PF, Page 6, Part VIII		522,700.	111,942.	0.

**F. B. Heron Foundation**  
**Part VIII - 2 Compensation of five highest paid employees**  
**December 31, 2011**

<u>Name and Address</u>	<u>Title Ave Hours Per Week</u>	<u>Compensation</u>	<u>Contributions to Employee Benefit Plans</u>	<u>Expense Allowance</u>
Luther M Ragin Jr New York, NY	VP Investments 40	\$202,862	\$38,155	\$0
John Weiler New York, NY	Admin & Finance 40	\$201,270	\$58,990	\$0
Dana Pancrazi New York, NY	Program Officer 40	\$136,500	\$42,770	\$0
James Metzinger New York, NY	Program Officer 40	\$73,520	\$20,028	\$0
Dorothy Pflager New York, NY	Administration 40	\$69,590	\$21,051	\$0

PRI Lead Schedule, FY 2011

Organization Legal Name	PRI Activity FY 2011					
	PRI Approved FY 2011	PRI Outstanding at 12/31/2010	PRI Paid 2011	Prepayments/ Repayments Rec'd 2011	Other Adjustments 2011	PRI Outstanding at 12/31/2011
Adena Ventures, LP	-	322,976	-	-	-	322,976
Affordable Homes of South Texas/McAllen Affordable Homes, Inc	-	500,000	-	-	-	500,000
Boston Community Loan Fund, Inc	-	750,000	-	-	-	750,000
Bridge Housing Corporation	-	450,000	-	(50,000)	-	400,000
Calvert Social Investment Foundation, Inc	-	500,000	-	-	-	500,000
Community Loan Fund of New Jersey - Senior Loan	-	500,000	-	(100,000)	-	400,000
Community Reinvestment Fund, Inc - Senior Loan <sup>1</sup>	-	1,160,291	-	-	48,012	1,208,303
Federation of Appalachian Housing Enterprises, Inc	-	500,000	-	-	-	500,000
Greystone Foundation, Inc <sup>2</sup>	-	143,000	-	(49,711)	(93,289)	-
Habitat for Humanity International, Inc. [closing 1]	-	726,781	-	(137,768)	-	589,012
Habitat for Humanity International, Inc. [closing 2]	-	1,943,939	-	(296,037)	-	1,647,902
Habitat for Humanity International, Inc. [closing 3]	-	500,000	-	(46,393)	-	453,608
Hope Enterprise Corporation (fka Enterprise Corporation of the Delta)	-	250,000	-	-	-	250,000
Housing Assistance Council	-	750,000	-	-	-	750,000
Latino Community Credit Union	-	250,000	-	(50,000)	-	200,000
Mentus Ventures, LP	-	500,000	-	-	-	500,000
National Federation of Community Development Credit Unions, Inc	-	1,000,000	-	-	-	1,000,000
Native American Bancorporation	-	300,000	-	-	-	300,000
New Hampshire Community Loan Fund, Inc	-	500,000	-	-	-	500,000
Non Profit Finance Fund <sup>3</sup>	-	500,000	-	-	-	500,000
Northwest Louisiana Community Development Fund I (Equity)	-	500,000	-	(34,381)	-	465,619
Opportunities Credit Union (fka Vermont Development CU)	-	250,000	-	-	-	250,000
Opportunity Finance Network/National Community Capital Association	-	400,000	-	(400,000)	-	-
Pacific Community Venture (Equity)	-	500,000	-	-	-	500,000
Penn Venture Partners LP (Equity)	-	250,000	-	-	-	250,000
The Reinvestment Fund, Inc	-	500,000	-	-	-	500,000
Rural Community Assistance Corporation	-	500,000	-	-	-	500,000
Self-Help Enterprises	-	400,000	-	(400,000)	-	-
Self-Help Enterprises	750,000	-	750,000	-	-	750,000
Self-Help Ventures Fund	-	1,000,000	-	(1,000,000)	-	-
SJF Ventures II, L P	-	474,192	-	(100,091)	-	374,101
The Southern Appalachian Fund, LP	-	400,000	-	-	-	400,000
	\$ 750,000	\$ 17,221,179	\$ 750,000	\$ (2,664,381)	\$ (45,277)	15,261,521
Notes	Ties to Authorizations in Board Minutes	Ties to PT PRIs Principal account				Ties to PT PRIs Principal account

STMT # 18



# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
<b>AAFE Community Development Fund, Inc.</b> 108 Norfolk Street New York, NY 10002 501 (c) 3 23-month \$130,000 Operating Revenue grant Approved on Docket II - 2010	65,000	-	-	65,000	-
<b>Abyssinian Development Corporation</b> 4 West 125th Street New York, NY 10027 501 (c) 3 One-year \$75,000 Operating Revenue grant Approved on Docket I-b - 2011	-	75,000	-	75,000	-
<b>Affordable Homes of South Texas, Inc.</b> 1420 Erie Avenue McAllen, TX 78501 501 (c) 3 One-year \$90,000 Operating Revenue grant Approved on Docket III - 2011	-	90,000	-	90,000	-
<b>alt.Consulting</b> P O Box 9858 Pine Bluff, AR 71611 501 (c) 3 Two-year \$150,000 Operating Revenue grant Approved on Docket III - 2010	75,000	-	-	75,000	-
<b>American Academy of Dramatic Arts</b> 120 Madison Avenue New York, NY 10016 501 (c) 3 One-year \$5,000 Staff-/Board-Directed Grant Approved in 2011	-	5,000	-	5,000	-
<b>Aplastic Anemia &amp; MDS International Foundation, Inc.</b>	-	250	-	250	-

STMT #19

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
100 Park Avenue, Suite 108 Rockville, MD 20850 501 (c) 3 One-year \$250 Matching Grant Approved in 2011 <b>Assistance League of Minneapolis - St. Paul</b>	-	1,500	-	1,500	-
6416 Penn Avenue S Richfield, MN 55423-1141 501 (c) 3 One-year \$1,500 Staff-/Board-Directed Grant Approved in 2011 <b>Avenue Community Development Corporation</b>	-	35,000	-	35,000	-
2505 Washington, Suite 499 Houston, TX 77007 501 (c) 3 One-year \$35,000 Operating Revenue grant Approved on Docket III - 2011 <b>Bennett College</b>	-	2,500	-	2,500	-
900 E. Washington Street Greensboro, NC 27401 501 (c) 3 One-year \$2,500 Staff-/Board-Directed Grant Approved in 2011 <b>* Black Umbrellas</b>	25,000	-	-	25,000	-
2nd Floor, The Business Place Building 7 Anton Anreith Arcade Foreshore 8001 Cape Town, South Africa 8001 <b>Expenditure Responsibility</b>					
Two-year \$50,000 Project Support grant Approved on Docket III - 2010 <b>Brandeis University</b>	-	75,000	-	75,000	-
PO Box 549110, MSO35					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
Waltham, MA 02454 501 (c) 3 One-year \$75,000 Operating Revenue grant Approved on Docket III - 2011 <b>The Brookings Institution</b> 1775 Massachusetts Ave N W Washington, DC 20036-2103 501 (c) 3 One-year \$100,000 Project Support grant Approved on Docket II - 2011	-	100,000	-	100,000	-
<b>Cape Eleuthera Foundation, Inc.</b> c/o ISS PO Box 5910 Princeton, NJ 08543 501 (c) 3 One-year \$5,000 Staff-/Board-Directed Grant Approved in 2011	-	5,000	-	5,000	-
<b>Center for Public Policy Priorities</b> 900 Lydia Street Austin, TX 78702 501 (c) 3 Two-year \$100,000 Project Support grant Approved on Docket I-a - 2011	-	100,000	-	50,000	50,000
<b>Center for Responsible Lending</b> 302 W Main St. Durham, NC 27701 501 (c) 3 Two-year \$100,000 Operating Revenue grant Approved on Docket I - 2011	-	100,000	-	50,000	50,000
<b>Child Care and Learning Center</b> PO Box 520 Washington, VA 22747	-	1,000	-	1,000	-

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
501 (c) 3 One-year \$1,000 Community Service Grant (CSG) Approved in 2011 <b>City First Enterprises, Inc.</b> 1432 U St NW Washington, DC 20009	-	100,000	-	50,000	50,000
501 (c) 3 Two-year \$100,000 Project Support grant Approved on Docket I-a - 2011 <b>City Futures, Inc.</b> 120 Wall Street, 20th Floor New York, NY 10005	-	5,000	-	5,000	-
501 (c) 3 One-year \$5,000 Staff-/Board-Directed Grant Approved in 2011 <b>Coastal Enterprises, Inc.</b> P O Box 268 Wiscasset, ME 04578-0268	-	250,000	-	125,000	125,000
501 (c) 3 Two-year \$250,000 Operating Revenue grant Approved on Docket I-a - 2011 <b>Community Development Corporation of Brownsville, Inc.</b> 901 East Levee Street Brownsville, TX 78520	-	130,000	-	65,000	65,000
501 (c) 3 Two-year \$130,000 Operating Revenue grant Approved on Docket I - 2011 <b>Community Development Corporation of Long Island</b> 2100 Middle Country Road, Suite 300 Centereach, NY 11720-3576	-	75,000	-	75,000	-
501 (c) 3					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
One-year \$75,000 Operating Revenue grant Approved on Docket III - 2011 <b>Community Foundation of Southeastern Massachusetts, Inc.</b> 63 Union Street New Bedford, MA 02740 501 (c) 3	-	6,500	-	6,500	-
One-year \$6,500 Staff-/Board-Directed Grant Approved in 2011 <b>Community Funds, Inc.</b> 909 Third Avenue New York, NY 10022 501 (c) 3	-	5,000	-	5,000	-
One-year \$5,000 Matching Grant Approved in 2011 <b>Community Funds, Inc.</b> 909 Third Avenue New York, NY 10022 501 (c) 3	-	10,000	-	10,000	-
One-year \$10,000 Staff-/Board-Directed Grant Approved in 2011 <b>Community Reinvestment Fund, Inc.</b> 801 Nicollet Mall, Suite 1700 West Minneapolis, MN 55402 501 (c) 3	-	500,000	-	500,000	-
Two-year \$500,000 Working Capital grant Approved on Docket II_Brd - 2011 <b>Community Resource Exchange</b> 42 Broadway 20th Floor New York, NY 10004 501 (c) 3	-	1,000	-	1,000	-
One-year \$1,000 Staff-/Board-Directed Grant					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
Approved in 2011					
<b>Community Voices Heard, Inc.</b>	-	1,000	-	1,000	-
115 East 106th Street, 3rd Floor					
New York, NY 10029					
501 (c) 3					
One-year \$1,000 Community Service Grant (CSG)					
Approved in 2011					
<b>Community Voices Heard, Inc.</b>	-	2,000	-	2,000	-
115 East 106th Street, 3rd Floor					
New York, NY 10029					
501 (c) 3					
One-year \$2,000 Staff-/Board-Directed Grant					
Approved in 2011					
<b>Consumer Credit Counseling Service of Greater Atlanta, Inc.</b>	-	125,000	-	125,000	-
270 Peachtree Street, NW Suite 1800					
Atlanta, GA 30303					
501 (c) 3					
One-year \$125,000 Project Support grant					
Approved on Docket I - 2011					
<b>Consumer Federation of America</b>	-	50,000	-	50,000	-
1620 I Street, NW, Suite 200					
Washington, DC 20006					
501 (c) 3					
One-year \$50,000 Operating Revenue grant					
Approved on Docket III - 2011					
<b>* CoopMetrics, Inc.</b>	-	150,000	-	150,000	-
866 Harvey Road					
Arrington, VA 22922					
<b>Expenditure Responsibility</b>					
One-year \$150,000 Contract for Service Grant					
Approved on Docket 2011-10					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
<b>Corporation for Enterprise Development</b> 1200 G Street, NW Suite 400 Washington, DC 20002 501 (c) 3 One-year \$125,000 Operating Revenue grant Approved on Docket III - 2011	-	125,000	-	125,000	-
<b>Council on Foundations, Inc.</b> 2121 Crystal Drive, Suite 700 Arlington, VA 22201 501 (c) 3 One-year \$34,500 Good Citizen Grants Approved in 2011	-	35,000	(500)	34,500	-
<b>Craft3</b> P. O. Box 826 203 Howerton Way, SE Ilwaco, WA 98624 501 (c) 3 One-year \$125,000 Operating Revenue grant Approved on Docket III - 2011	-	125,000	-	-	125,000
<b>Demos: A Network for Ideas and Action, Ltd.</b> 220 Fifth Avenue, 5th Fl New York, NY 10001 501 (c) 3 One-year \$40,000 Project Support grant Approved on Docket II - 2011	-	40,000	-	40,000	-
<b>* Development Action Group</b> 101 Lower Main Road, Observatory Cape Town, South Africa 7925	-	50,000	-	-	50,000
<b>Expenditure Responsibility</b> 11-month \$50,000 Project Support grant Approved on Docket III-Addm01 - 2011	-	50,000	-	50,000	-
<b>Disability Fund, Inc.</b>	-	50,000	-	50,000	-

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
201 I U Willets Road Albertson, NY 11507-1599 501 (c) 3 One-year \$50,000 Operating Revenue grant Approved on Docket II - 2011 <b>Earned Asset Resource Network, Inc.</b>	125,000	-	-	125,000	-
235 Montgomery Street, Suite 470 San Francisco, CA 94104 501 (c) 3 Two-year \$250,000 Operating Revenue grant Approved on Docket III - 2010 <b>Easter Seals-Central Texas, Inc.</b>	-	35,000	-	35,000	-
1611 Headway Circle, Building 2 Austin, TX 78754 501 (c) 3 One-year \$35,000 Project Support grant Approved on Docket III - 2011 <b>Emma Willard School</b>	-	5,000	-	5,000	-
285 Pawling Avenue Troy, NY 12180 501 (c) 3 One-year \$5,000 Matching Grant Approved in 2011 <b>Environmental Law and Policy Center of the Midwest</b>	-	500	-	500	-
35 East Wacker Drive, Suite 1300 Chicago, IL 60601-2110 501 (c) 3 One-year \$500 Matching Grant Approved in 2011 <b>Evangelical Crusade of Fishers of Men Christian Church</b>	-	2,000	-	2,000	-
1488 New York Avenue					



# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
Brooklyn, NY 11210 501 (c) 3 One-year \$2,000 Staff-/Board-Directed Grant Approved in 2011 <b>Exodus Foundation Org</b>	-	1,000	-	1,000	-
13016 Eastfield Road Suite 200-222 Huntersville, NC 28078 501 (c) 3 One-year \$1,000 Matching Grant Approved in 2011 <b>Federation of Appalachian Housing, Inc.</b>	-	125,000	-	125,000	-
PO Box 908 Berea, KY 40403 501 (c) 3 One-year \$125,000 Operating Revenue grant Approved on Docket II - 2011 <b>* The FinMark Trust</b>	-	25,000	-	25,000	-
PO Box 61674 Marshalltown 2107, South Africa <b>Expenditure Responsibility</b> One-year \$25,000 Project Support grant Approved on Docket II-a - 2011 <b>First Nations Development Institute</b>	100,000	-	-	100,000	-
351 Coffman Street, Suite 200 Longmont, CO 80501 501 (c) 3 23-month \$200,000 Operating Revenue grant Approved on Docket I - 2010 <b>First Nations Oweesta Corporation</b>	-	75,000	-	75,000	-
351 Coffman Street, Suite 200 Longmont, CO 80501					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
501 (c) 3 One-year \$75,000 Operating Revenue grant Approved on Docket I - 2011 <b>The Foundation Center</b>	-	6,000	-	6,000	-
79 Fifth Avenue New York, NY 10003-3076					
501 (c) 3 One-year \$6,000 Good Citizen Grants Approved in 2011 <b>Foundation for Louisiana</b>	-	1,000	-	1,000	-
4354 S Sherwood Forest Boulevard Suite 200 Baton Rouge, LA 70816					
501 (c) 3 One-year \$1,000 Matching Grant Approved in 2011 <b>Foundation for Louisiana</b>	-	2,500	-	2,500	-
4354 S. Sherwood Forest Boulevard Suite 200 Baton Rouge, LA 70816					
501 (c) 3 One-year \$2,500 Staff-/Board-Directed Grant Approved in 2011 <b>Foundation for Louisiana</b>	-	1,000	-	1,000	-
4354 S. Sherwood Forest Boulevard Suite 200 Baton Rouge, LA 70816					
501 (c) 3 One-year \$1,000 Community Service Grant (CSG) Approved in 2011 <b>Foundation for Louisiana</b>	-	75,000	-	-	75,000
4354 S Sherwood Forest Boulevard Suite 200 Baton Rouge, LA 70816					
501 (c) 3					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
One-year \$75,000 Operating Revenue grant Approved on Docket III-Addm03 - 2011 <b>Friends of Roosevelt Park Inc.</b> 6 West 77th Street New York, NY 10024 501 (c) 3	-	5,000	-	5,000	-
One-year \$5,000 Staff-/Board-Directed Grant Approved in 2011 <b>Friends of Sunnyside Gardens Parks</b> 4821 39th Avenue Sunnyside, NY 11104 501 (c) 3	-	5,000	-	5,000	-
One-year \$5,000 Staff-/Board-Directed Grant Approved in 2011 <b>Funders Network for Smart Growth and Livable Communities</b> 1500 San Remo Ave, Suite 249 Coral Gables, FL 33146 501 (c) 3	-	5,000	-	5,000	-
One-year \$5,000 Good Citizen Grants Approved in 2011 <b>Germantown Friends School</b> 31 West Coulter Street Philadelphia, PA 19144 501 (c) 3	-	2,000	-	2,000	-
One-year \$2,000 Staff-/Board-Directed Grant Approved in 2011 <b>Grantmakers for Effective Organizations</b> 1725 DeSales St , NW, Suite 404 Washington, DC 20036 501 (c) 3	50,000	-	-	50,000	-
Two-year \$100,000 Operating Revenue grant					-

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
Approved on Docket III-a - 2010					
<b>Grantmakers for Effective Organizations</b>	-	250	-	250	-
1725 DeSales St , NW, Suite 404					
Washington, DC 20036					
501 (c) 3					
One-year \$250 Matching Grant					
Approved in 2011					
<b>Grants Managers Network, Inc.</b>	-	2,000	-	2,000	-
1666 K Street, NW Suite 440					
Washington, DC 20006					
501 (c) 3					
One-year \$2,000 Good Citizen Grants					
Approved in 2011					
<b>Grants Managers Network, Inc.</b>	-	1,000	-	1,000	-
1666 K Street, NW Suite 440					
Washington, DC 20006					
501 (c) 3					
One-year \$1,000 Community Service Grant (CSG)					
Approved in 2011					
<b>Greater Minneapolis Crisis Nursery</b>	-	500	-	500	-
5400 Glenwood Avenue					
Golden Valley, MN 55422					
501 (c) 3					
One-year \$500 Staff-/Board-Directed Grant					
Approved in 2011					
<b>Greenpoint Reformed Church</b>	-	1,500	-	1,500	-
136 Milton Street					
Brooklyn, NY 11222-0026					
501 (c) 3					
One-year \$1,500 Staff-/Board-Directed Grant					
Approved in 2011					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
<b>Greens Farms Academy, Inc.</b> 35 Beachside Avenue P O Box 998 Greens Farms, CT 06838 501 (c) 3 One-year \$1,500 Matching Grant Approved in 2011	-	1,500	-	1,500	-
<b>Greens Farms Academy, Inc.</b> 35 Beachside Avenue P O Box 998 Greens Farms, CT 06838 501 (c) 3 One-year \$5,000 Staff-/Board-Directed Grant Approved in 2011	-	5,000	-	5,000	-
<b>Greens Farms Academy, Inc.</b> 35 Beachside Avenue P O Box 998 Greens Farms, CT 06838 501 (c) 3 One-year \$1,000 Community Service Grant (CSG) Approved in 2011	-	1,000	-	1,000	-
<b>Grumman Hill Montessori Association</b> 34 Whipple Road Wilton, CT 06897 501 (c) 3 One-year \$250 Matching Grant Approved in 2011	-	250	-	250	-
<b>GuideStar USA, Inc.</b> 4801 Courthouse St Suite 220 Williamsburg, VA 23188 501 (c) 3 One-year \$10,000 Good Citizen Grants Approved in 2011	-	10,000	-	10,000	-
<b>GuideStar USA, Inc.</b>	-	400	-	400	-

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
4801 Courthouse St Suite 220 Williamsburg, VA 23188 501 (c) 3 One-year \$400 Matching Grant Approved in 2011 <b>Gulf Coast Housing Partnership</b>	-	75,000	-	75,000	-
1614B Oretha Castle Haley Boulevard New Orleans, LA 70113 501 (c) 3 One-year \$75,000 Operating Revenue grant Approved on Docket III - 2011 <b>Hooker County Community Foundation Inc.</b>	-	1,000	-	1,000	-
PO Box 66 Mullen, NE 69152 501 (c) 3 One-year \$1,000 Staff-/Board-Directed Grant Approved in 2011 <b>Hot Bread Kitchen LTD</b>	-	2,000	-	2,000	-
1607 Park Avenue New York, NY 10029 501 (c) 3 One-year \$2,000 Staff-/Board-Directed Grant Approved in 2011 <b>Housing Assistance Council</b>	-	300,000	-	150,000	150,000
1025 Vermont Avenue, NW, Suite 606 Washington, DC 20005 501 (c) 3 Two-year \$300,000 Operating Revenue grant Approved on Docket I - 2011 <b>The Housing Partnership Network</b>	-	125,000	-	125,000	-
160 State Street, 5th Floor					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
Boston, MA 02109 501 (c) 3 One-year \$125,000 Operating Revenue grant Approved on Docket III - 2011 <b>The Housing Partnership Network</b>	-	150,000	-	150,000	-
160 State Street, 5th Floor Boston, MA 02109 501 (c) 3 One-year \$150,000 Project Support grant Approved on Docket II-EX.2 - 2011 <b>Housing Works, Inc.</b>	-	1,000	-	1,000	-
57 Willoughby Street Brooklyn, NY 11201 501 (c) 3 One-year \$1,000 Staff-/Board-Directed Grant Approved in 2011 <b>Independent Sector</b>	-	11,000	-	11,000	-
1602 L Street NW Suite 900 Washington, DC 20036 501 (c) 3 One-year \$11,000 Good Citizen Grants Approved in 2011 <b>Indiana University Foundation</b>	-	2,000	-	2,000	-
PO Box 660245 Indianapolis, IN 46266-0245 501 (c) 3 One-year \$2,000 Staff-/Board-Directed Grant Approved in 2011 <b>Inner City Christian Federation</b>	60,000	-	-	60,000	-
920 Cherry Street SE Grand Rapids, MI 49506					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
501 (c) 3 Two-year \$120,000 Operating Revenue grant Approved on Docket III-a - 2010 <b>Johns Hopkins University</b> Office of the President 242 Garland Hall 3400 N. Charles Street Baltimore, MD 21218	-	1,000	-	1,000	-
501 (c) 3 One-year \$1,000 Matching Grant Approved in 2011 <b>Just Food, Inc.</b> 1155 Avenue of the Americans 3rd Floor New York, NY 10036	-	3,000	-	3,000	-
501 (c) 3 One-year \$3,000 Staff-/Board-Directed Grant Approved in 2011 <b>Kent State University Foundation</b> 325 Lincoln Street Kent State University Kent, OH 44242	-	75,000	-	75,000	-
501 (c) 3 One-year \$75,000 Operating Revenue grant Approved on Docket I - 2011 <b>* The Kuyasa Fund</b> 3, Wensch Road, Observatory Cape Town, South Africa	-	300,000	-	150,000	150,000
<b>Expenditure Responsibility</b> Two-year \$300,000 Project Support grant Approved on Docket II-c - 2011 <b>Lawyers Alliance for New York</b> 171 Madison Ave, 6th Floor New York, NY 10016	50,000	-	-	50,000	-
501 (c) 3					



# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
Two-year \$100,000 Operating Revenue grant Approved on Docket III - 2010 <b>Local Initiatives Support Corporation</b>	75,000	-	-	75,000	-
119 South Theobald Street, Suite 109 Greenville, MS 38701-4161 501 (c) 3					
23-month \$150,000 Project Support grant Approved on Docket II - 2010 <b>Low Income Investment Fund</b>	125,000	-	-	125,000	-
100 Pine Street, Suite 1800 San Francisco, CA 94111 501 (c) 3					
Two-year \$250,000 Operating Revenue grant Approved on Docket III-a - 2010 <b>Lower Manhattan Cultural Council, Inc.</b>	-	20,000	-	20,000	-
125 Maiden Lane New York, NY 10038 501 (c) 3					
One-year \$20,000 Good Citizen Grants Approved in 2011 <b>Make the Road New York</b>	-	1,000	-	1,000	-
301 Grove Street Brooklyn, NY 11237 501 (c) 3					
One-year \$1,000 Staff-/Board-Directed Grant Approved in 2011 <b>Marketumbrella.org</b>	-	75,000	-	75,000	-
200 Broadway Avenue, Suite 107 New Orleans, LA 70118 501 (c) 3					
One-year \$75,000 Operating Revenue grant					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
Approved on Docket III - 2011 <b>The Mayor's Fund to Advance New York City</b> One Centre Street, 23rd Floor New York, NY 10007 501 (c) 3 Two-year \$100,000 Project Support grant Approved on Docket II-a - 2010	50,000	-	-	50,000	-
<b>* McKinsey &amp; Company, Inc.</b> 55 East 52nd Street, Room 1827 New York, 10055	-	50,000	-	50,000	-
<b>Expenditure Responsibility</b> One-year \$50,000 Contract for Service Grant Approved on Docket 2011-10					
<b>MDC, Inc.</b> Post Office Box 17268 Chapel Hill, NC 27516-7268 501 (c) 3 One-year \$2,500 Staff-/Board-Directed Grant Approved in 2011	-	2,500	-	2,500	-
<b>MDC, Inc.</b> Post Office Box 17268 Chapel Hill, NC 27516-7268 501 (c) 3 One-year \$1,000 Community Service Grant (CSG) Approved in 2011	-	1,000	-	1,000	-
<b>Metro IAF, Inc.</b> c/o Queens Citizens Organization 85-18 61st Road Rego Park, NY 11374 501 (c) 3 One-year \$90,000 Operating Revenue grant Approved on Docket III - 2011	-	90,000	-	90,000	-

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
<b>Metropolitan Planning Council</b> 140 South Dearborn, Suite 1400 Chicago, IL 60603 501 (c) 3 23-month \$300,000 Project Support grant Approved on Docket I-b - 2010	150,000	-	-	150,000	-
<b>The Middle Project, Inc.</b> 50 East 7th Street New York, NY 10003 501 (c) 3 One-year \$1,000 Staff-/Board-Directed Grant Approved in 2011	-	1,000	-	1,000	-
<b>Montclair Operetta Club, Inc.</b> 494 Valley Road Upper Montclair, NJ 07043 501 (c) 3 One-year \$1,000 Staff-/Board-Directed Grant Approved in 2011	-	1,000	-	1,000	-
<b>Mountain Association for Community Economic Development, Inc.</b> 433 Chestnut Street Berea, KY 40403 501 (c) 3 Two-year \$200,000 Operating Revenue grant Approved on Docket II-a - 2010	100,000	-	-	100,000	-
<b>National Alliance of Community Economic Development Associations</b> PO Box 12192 Washington, DC 20005 501 (c) 3 23-month \$60,000 Operating Revenue grant Approved on Docket I - 2010	30,000	-	-	30,000	-
<b>National American Indian Housing Council</b>	-	50,000	-	50,000	-

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
900 2nd Street NE, Suite 107 Washington, DC 20002 501 (c) 3 One-year \$50,000 Operating Revenue grant Approved on Docket I-a - 2011 <b>The National Center for Fathering, Inc.</b> P O Box 413888 Kansas City, MO 64141 501 (c) 3 One-year \$1,000 Staff-/Board-Directed Grant Approved in 2011	-	1,000	-	1,000	-
<b>National Committee for Responsive Philanthropy</b> 1331 H Street NW, Suite 200 Washington, DC 20005 501 (c) 3 One-year \$25,000 Operating Revenue grant Approved on Docket II - 2011	-	25,000	-	25,000	-
<b>National Community Reinvestment Coalition, Inc.</b> 727 15th Street, NW, Suite 900 Washington, DC 20005 501 (c) 3 One-year \$100,000 Operating Revenue grant Approved on Docket III-Addm01 - 2011	-	100,000	-	100,000	-
<b>National Community Stabilization Trust, LLC</b> 910 17th St NW STE 1030 Washington,, DC 20006 501 (c) 3 23-month \$300,000 Operating Revenue grant Approved on Docket I-c - 2010	150,000	-	-	150,000	-
<b>National Federation of Community Development Credit Unions, I</b> 39 Broadway, Suite 2140	50,000	-	-	50,000	-

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
New York, NY 10006-3003 501 (c) 3 Two-year \$100,000 Operating Revenue grant Approved on Docket II-a - 2010 <b>National Housing Institute</b>	-	50,000	-	50,000	-
60 South Fullerton Ave , Suite 206 Montclair, NJ 07042 501 (c) 3 One-year \$50,000 Operating Revenue grant Approved on Docket I-b - 2011 <b>Native American Community Development Corporation</b>	-	100,000	-	50,000	50,000
PO Box 3029 Browning, MT 59417 501 (c) 3 Two-year \$100,000 Operating Revenue grant Approved on Docket I-b - 2011 <b>Native Community Development Financial Institutions Network</b>	-	25,000	-	25,000	-
Box 932 Eagle Butte, SD 57625 One-year \$25,000 Project Support grant Approved on Docket I-b - 2011 <b>Neighborhood Development Center, Inc.</b>	-	75,000	-	75,000	-
663 University Avenue, Suite 200 St Paul, MN 55104-4802 501 (c) 3 One-year \$75,000 Operating Revenue grant Approved on Docket III - 2011 <b>Neighborhood Economic Development Advocacy Project, Inc.</b>	-	75,000	-	75,000	-
176 Grand Street, Suite 300 New York, NY 10013 501 (c) 3					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
One-year \$75,000 Operating Revenue grant Approved on Docket II - 2011 <b>Neighborhood Funders Group, Inc.</b> 1301 Connecticut Avenue N W, Suite 500 Washington, DC 20036 501 (c) 3	-	20,000	-	20,000	-
One-year \$20,000 Operating Revenue grant Approved on Docket II-c - 2011 <b>Neighborhood Housing Services of New York City, Inc.</b> 307 West 36th Street, 12th Floor New York, NY 10018 501 (c) 3	-	250,000	-	125,000	125,000
Two-year \$250,000 Operating Revenue grant Approved on Docket I - 2011 <b>Neighborhood Reinvestment Corporation</b> dba NeighborWorks® America 1325 G Street, NW, Suite 800 Washington, DC 20005 501 (c) 3	50,000	-	-	50,000	-
Two-year \$100,000 Project Support grant Approved on Docket II-a - 2010 <b>Neighborhood Reinvestment Corporation</b> dba NeighborWorks® America 1325 G Street, NW, Suite 800 Washington, DC 20005 501 (c) 3	100,000	-	-	100,000	-
Two-year \$200,000 Project Support grant Approved on Docket III-a - 2010 <b>Neighborhood Reinvestment Corporation</b> dba NeighborWorks® America 1325 G Street, NW, Suite 800 Washington, DC 20005 501 (c) 3	-	150,000	-	150,000	-
One-year \$150,000 Operating Revenue grant					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
Approved on Docket III - 2011 <b>Neighborhood Reinvestment Corporation</b> dba NeighborWorks® America 1325 G Street, NW, Suite 800 Washington, DC 20005 501 (c) 3 One-year \$5,000 Good Citizen Grants Approved in 2011	-	5,000	-	5,000	-
<b>New America Foundation</b> 1899 L Street NW, Suite 400 Washington, DC 20036 501 (c) 3 23-month \$150,000 Project Support grant Approved on Docket II - 2010	75,000	-	-	75,000	-
<b>New Hampshire Community Loan Fund</b> #7 Wall Street Concord, NH 03301 501 (c) 3 23-month \$250,000 Operating Revenue grant Approved on Docket II - 2010	125,000	-	-	125,000	-
<b>New York University</b> New York University 139 MacDougal Street, 2nd Floor New York, NY 10012 501 (c) 3 One-year \$50,000 Operating Revenue grant Approved on Docket II - 2011	-	50,000	-	50,000	-
<b>Nonprofit Coordinating Committee of New York, Inc.</b> 1350 Broadway-Suite 1801 New York, NY 10018-7802 501 (c) 3 One-year \$2,000 Good Citizen Grants Approved in 2011	-	2,000	-	2,000	-

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
<b>Nonprofit Finance Fund</b>	-	100,000	-	100,000	-
70 West 36th Street, 11th Floor					
New York, NY 10018-8007					
501 (c) 3					
One-year \$100,000 Operating Revenue grant					
Approved on Docket I-a_Brd - 2011					
<b>North Carolina Community Development Initiative, Inc.</b>	125,000	-	-	125,000	-
P O Box 98148					
Raleigh, NC 27624					
501 (c) 3					
Two-year \$250,000 Operating Revenue grant					
Approved on Docket III - 2010					
<b>North Star Fund, Inc.</b>	-	1,000	-	1,000	-
520 Eighth Avenue, #2203					
New York, NY 10018					
501 (c) 3					
One-year \$1,000 Staff-/Board-Directed Grant					
Approved in 2011					
<b>Northern Piedmont Community Foundation</b>	-	1,000	-	1,000	-
PO Box 182					
Warrenton, VA 20188					
501 (c) 3					
One-year \$1,000 Community Service Grant (CSG)					
Approved in 2011					
<b>Oakland Livingston Human Service Agency</b>	50,000	-	-	50,000	-
196 Cesar E Chavez Avenue PO Box 430598					
Pontiac, MI 48343-0598					
501 (c) 3					
Two-year \$100,000 Operating Revenue grant					
Approved on Docket III - 2010					
<b>Paraprofessional Healthcare Institute, Inc.</b>	125,000	-	-	125,000	-



# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
349 East 149th Street, 10th Floor Bronx, NY 10451 501 (c) 3 Two-year \$250,000 Operating Revenue grant Approved on Docket III - 2010 <b>Partners for Livable Communities</b>	-	10,000	-	10,000	-
1429 21st Street, NW Washington, DC 20036 One-year \$10,000 Good Citizen Grants Approved in 2011 <b>PeopleFund</b>	50,000	-	-	50,000	-
2921 E 17th Street Austin, TX 78702 501 (c) 3 Two-year \$100,000 Operating Revenue grant Approved on Docket III - 2010 <b>Philadelphia Yearly Meeting of Friends</b>	-	10,000	-	10,000	-
1500 Orthodox Street Philadelphia, PA 19124 501 (c) 3 One-year \$10,000 Staff-/Board-Directed Grant Approved in 2011 <b>Philanthropy New York</b>	15,000	-	-	15,000	-
79 Fifth Avenue, 4th Floor New York, NY 10003-3076 501 (c) 3 Two-year \$30,000 Project Support grant Approved on Docket III-EX.1 - 2010 <b>Philanthropy New York</b>	-	9,200	-	9,200	-
79 Fifth Avenue, 4th Floor New York, NY 10003-3076					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
501 (c) 3 One-year \$9,200 Good Citizen Grants Approved in 2011 <b>Philanthropy Northwest</b> 2101 Fourth Avenue, Suite 650 Seattle, WA 98121	-	5,000	-	5,000	-
501 (c) 3 One-year \$5,000 Good Citizen Grants Approved on Docket 2011-11 <b>Philanthropy Northwest</b> 2101 Fourth Avenue, Suite 650 Seattle, WA 98121	-	75,000	-	75,000	-
501 (c) 3 One-year \$75,000 Operating Revenue grant Approved on Docket III - 2011 <b>Planned Parenthood of Central North Carolina, Inc.</b> P O. Box 3258 Chapel Hill, NC 27515-3258	-	1,500	-	1,500	-
501 (c) 3 One-year \$1,500 Matching Grant Approved in 2011 <b>Planned Parenthood of Central North Carolina, Inc.</b> P O Box 3258 Chapel Hill, NC 27515-3258	-	2,500	-	2,500	-
501 (c) 3 One-year \$2,500 Staff-/Board-Directed Grant Approved in 2011 <b>President &amp; Fellows of Harvard College</b> The Harvard Project on American Indian Economic Development 79 John F Kennedy Street Cambridge, MA 02138	-	30,000	-	30,000	-
501 (c) 3					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
One-year \$30,000 Project Support grant Approved on Docket II-a - 2011 <b>The Progress Fund</b> 425 West Pittsburgh Street Greensburg, PA 15601 501 (c) 3	120,000	-	-	120,000	-
Two-year \$120,000 Operating Revenue grant Approved on Docket III - 2010 <b>Project Medishare for Haiti, Inc.</b> PO Box 381208 Miami, FL 33238-1208 501 (c) 3	-	2,000	-	2,000	-
One-year \$2,000 Staff-/Board-Directed Grant Approved in 2011 <b>Proyecto Azteca</b> PO Box 27 San Juan, TX 78589 501 (c) 3	65,000	-	-	65,000	-
Two-year \$130,000 Operating Revenue grant Approved on Docket II-a - 2010 <b>RAISE Texas</b> 1811 West 38th Street Austin, TX 78731 501 (c) 3	35,000	-	-	35,000	-
Two-year \$70,000 Operating Revenue grant Approved on Docket II-b - 2010 <b>The Reinvestment Fund, Inc.</b> 1700 Market St , 19th Fl Philadelphia, PA 19103 501 (c) 3	150,000	-	-	150,000	-
Two-year \$300,000 Operating Revenue grant					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
Approved on Docket II-EX 3 - 2010 <b>The Reinvestment Fund, Inc.</b> 1700 Market St , 19th Fl Philadelphia, PA 19103 501 (c) 3 One-year \$45,000 Contract for Service Grant Approved on Docket II-EX 1 - 2011	-	45,000	-	45,000	-
<b>Reinvestment Partners</b> PO Box 1929 Durham, NC 27702 501 (c) 3 Two-year \$150,000 Operating Revenue grant Approved on Docket I - 2011	-	150,000	-	75,000	75,000
<b>ROC USA LLC</b> 7 Wall Street Concord, NH 03301 501 (c) 3 Two-year \$100,000 Operating Revenue grant Approved on Docket I - 2011	-	100,000	-	50,000	50,000
<b>Room for ALL, Inc.</b> P O Box 11495 Albany, NY 12211 501 (c) 3 One-year \$1,000 Community Service Grant (CSG) Approved in 2011	-	1,000	-	1,000	-
<b>Rural Advancement Foundation International - USA</b> 274 Pittsboro Elementary Road PO Box 640 Pittsboro, NC 27312 501 (c) 3 Two-year \$130,000 Operating Revenue grant Approved on Docket II-a - 2010	65,000	-	-	65,000	-

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
<b>Sacred Heart University</b>	-	250	-	250	-
5151 Park Avenue					
Fairfield, CT 06432-1000					
501 (c) 3					
One-year \$250 Matching Grant					
Approved in 2011					
<b>Salzburg Global Seminar</b>	100,000	-	-	100,000	-
P O Box 886					
Middlebury, VT 05753					
501 (c) 3					
37-month \$250,000 Operating Revenue grant					
Approved on Docket II-b - 2008					
<b>Salzburg Global Seminar</b>	-	10,000	-	10,000	-
P O Box 886					
Middlebury, VT 05753					
501 (c) 3					
One-year \$10,000 Staff-/Board-Directed Grant					
Approved in 2011					
<b>San Antonio Alternative Housing Corporation</b>	50,000	-	-	50,000	-
1215 S Trinity Street					
San Antonio, TX 78207					
501 (c) 3					
Two-year \$100,000 Operating Revenue grant					
Approved on Docket II-a - 2010					
<b>Search Ministries, Inc.</b>	-	2,500	-	2,500	-
7400 Metro Blvd Suite 210					
Edina, MN 55439					
501 (c) 3					
One-year \$2,500 Staff-/Board-Directed Grant					
Approved in 2011					
<b>Self-Help Enterprises</b>	100,000	-	-	100,000	-

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
8445 W Elowin Court P O Box 6520 Visalia, CA 93290-6520 501 (c) 3 Two-year \$200,000 Operating Revenue grant Approved on Docket III - 2010 <b>Shorebank Enterprise Detroit</b>	-	50,000	-	50,000	-
14533 Mack Avenue Detroit, MI 48205 501 (c) 3 One-year \$50,000 Operating Revenue grant Approved on Docket III - 2011 <b>Simon's Rock of Bard College</b>	-	500	-	500	-
84 Alford Road Great Barrington, MA 01230 501 (c) 3 One-year \$500 Matching Grant Approved in 2011 <b>Southern Bancorp Capital Partners</b>	-	75,000	-	75,000	-
PO Box 2507 Helena-West Helena, AR 72390 501 (c) 3 One-year \$75,000 Operating Revenue grant Approved on Docket III - 2011 <b>Southern Good Faith Fund</b>	-	40,000	-	40,000	-
1400 West Markham, Suite 400 Little Rock, AR 72201 501 (c) 3 One-year \$40,000 Operating Revenue grant Approved on Docket II - 2011 <b>Southern Mutual Help Association, Inc.</b>	-	75,000	-	75,000	-
3602 Old Jeanerette Road					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
New Iberia, LA 70563 501 (c) 3 One-year \$75,000 Operating Revenue grant Approved on Docket II - 2011 <b>St. Louis University High School</b> 4970 Oakland Avenue St Louis, MO 63110 501 (c) 3 One-year \$500 Matching Grant Approved in 2011	-	500	-	500	-
<b>The State of the USA</b> Suite 900 1899 L St , NW Washington, DC 20036 501 (c) 3 23-month \$500,000 Operating Revenue grant Approved on Docket I-EX 6 - 2010	250,000	-	-	250,000	-
<b>Sustainable Jobs Development Corporation</b> 200 North Mangum St , Suite 203 Durham, NC 27701 501 (c) 3 23-month \$100,000 Operating Revenue grant Approved on Docket I - 2010	50,000	-	-	50,000	-
<b>Sustainable Jobs Development Corporation</b> 200 North Mangum St., Suite 203 Durham, NC 27701 501 (c) 3 One-year \$35,000 Contract for Service Grant Approved on Docket 2011-10	-	35,000	-	35,000	-
<b>Texas Association of Community Development Corporations</b> 2200 E Martin Luther King, Jr Blvd. Austin, TX 78702	25,000	-	-	25,000	-

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
501 (c) 3 Two-year \$50,000 Operating Revenue grant Approved on Docket II-a - 2010 <b>Texas Rio Grande Legal Aid, Inc.</b> 4920 IH35 Austin, TX 78751	50,000	-	-	50,000	-
501 (c) 3 23-month \$100,000 Project Support grant Approved on Docket II - 2010 <b>Texas State Affordable Housing Corporation</b> P O Box 12637 Austin, TX 78711-2637	-	100,000	-	50,000	50,000
501 (c) 3 Two-year \$100,000 Operating Revenue grant Approved on Docket I - 2011 <b>* Thembani International Guarantee Fund</b> 1st Floor, Block 2 Elevations Gardens Waterfall Business Park Midrand	50,000	-	-	50,000	-
<b>Expenditure Responsibility</b> One-year \$50,000 Project Support grant Approved on Docket III - 2010 <b>United Neighborhood Houses of New York, Inc.</b> 70 West 36th Street, 5th Floor New York, NY 10018	-	500	-	500	-
501 (c) 3 One-year \$500 Matching Grant Approved in 2011 <b>United Neighborhood Houses of New York, Inc.</b> 70 West 36th Street, 5th Floor New York, NY 10018	-	5,000	-	5,000	-



# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
One-year \$5,000 Staff-/Board-Directed Grant Approved in 2011 <b>University of North Carolina at Chapel Hill</b> School of Social Work 301 Pittsboro Street CB 3550 Chapel Hill, NC 27599-3550 501 (c) 3	-	500	-	500	-
One-year \$500 Matching Grant Approved in 2011 <b>University of Southern Mississippi</b> Box 5163 Hattiesburg, MS 39406-5163 501 (c) 3	-	50,000	-	50,000	-
One-year \$50,000 Project Support grant Approved on Docket III - 2011 <b>University System of New Hampshire</b> The Carsey Institute UNH 73 Main Street, Huddleston Hall Durham, NH 03824 501 (c) 3	-	10,000	-	10,000	-
One-year \$10,000 Project Support grant Approved on Docket I - 2011 <b>Urban Ventures Leadership Foundation</b> 2924 4th Avenue South - Minneapolis, MN 55408-2438 501 (c) 3	-	2,500	-	2,500	-
One-year \$2,500 Staff-/Board-Directed Grant Approved in 2011 <b>Washington Interfaith Network</b> 1226 Vermont Avenue, NW Washington, DC 20005 501 (c) 3	-	100,000	-	100,000	-
One-year \$100,000 Operating Revenue grant					

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
Approved on Docket III - 2011 <b>Washington University</b> Center for Social Development Campus Box 1196 One Brookings Drive St Louis, MO 63130 501 (c) 3 Two-year \$200,000 Project Support grant Approved on Docket III - 2010	100,000	-	-	100,000	-
<b>Williams College</b> 75 Park Street Williamstown, MA 01267 501 (c) 3 One-year \$1,000 Matching Grant Approved in 2011	-	1,000	-	1,000	-
<b>Wilton Library Association, Incorporated</b> 137 Old Ridgefield Road Wilton, CT 06897-3000 501 (c) 3 One-year \$500 Matching Grant Approved in 2011	-	500	-	500	-
<b>Woodstock Institute</b> 29 E Madison, Suite 1710 Chicago, IL 60602-4566 501 (c) 3 Two-year \$200,000 Operating Revenue grant Approved on Docket I - 2011	-	200,000	-	100,000	100,000
<b>World Institute on Disability</b> 3075 Adeline Street, Suite 280 Oakland, CA 94703-2545 501 (c) 3 One-year \$25,000 Project Support grant Approved on Docket III - 2011	-	25,000	-	25,000	-

# Schedule of Appropriations and Payments 2011

All Grants Approved or Paid in Fiscal Year 2011, or Payable at FYE

12/31/2011

Recipient and Grant Info	Beginning Balance 2011	Newly Allocated 2011	Amended 2011	Amount Paid 2011	Ending Balance 2011
<b>Young Life</b>	-	1,000	-	1,000	-
910 Elliot Avenue South					
Minneapolis, MN 55404					
501 (c) 3					
One-year \$1,000 Staff-/Board-Directed Grant					
Approved in 2011					
<b>Young Mens and Womens Hebrew Association of Washington H</b>	-	1,000	-	1,000	-
54 Nagle Avenue					
New York, NY 10040					
501 (c) 3					
One-year \$1,000 Staff-/Board-Directed Grant					
Approved in 2011					
<b>Grand Total</b>	<b>\$3,205,000.</b>	<b>\$6,414,600.</b>	<b>(\$500.)</b>	<b>\$8,279,100.</b>	<b>\$1,340,000.</b>

STMT # 19

## F.B. Heron Foundation

### 2011 Expenditure Responsibility under Reg. 53-4945-5(d)

Data as of March 30, 2012

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1. Organization name and address:

Black Umbrellas  
2nd Floor, The Business Place Building  
7 Anton Anreith Arcade  
Cape Town, South Africa 8001

2. Grant's date and amount:

A grant of \$50,000.00 was approved on 11/5/2010

A payment of \$25,000.00 was made on 12/22/2011

3. Purpose of the grant:

For the provision of full support services to small businesses with owners from disadvantaged communities

4. Grant amount spent :

The Grant has been expended by the grantee as payments have been made.

5. Any part of the grant diverted:

No portions of the funds have been diverted from the purpose of the grant.

6. Date of report(s) received in 2011, if any:

A Release-of-Payment conversation with the grantee, reviewing progress against objectives, took place on 9/12/2011  
Interim Financial Statements and other Materials were rec'd and reviewed on 9/1/2011

7. Date and results of any verification of the grantees's reports undertaken by or at the direction of the grantor foundation:

N/A

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1. Organization name and address:

CoopMetrics, Inc.  
866 Harvey Road

Arrington, VA 22922

2. Grant's date and amount:

A grant of \$150,000.00 was approved on 11/1/2011

A payment of \$150,000.00 was made on 12/19/2011

3. Purpose of the grant:

To develop a portfolio reporting and analysis platform that will aggregate and disseminate financial performance data from grantees/investees.

4. Grant amount spent :

The Grant has been expended by the grantee as payments have been made.

5. Any part of the grant diverted:

No portions of the funds have been diverted from the purpose of the grant.

6. Date of report(s) received in 2011, if any:

NONE IN 2011

7. Date and results of any verification of the grantees's reports undertaken by or at the direction of the grantor foundation:

N/A

## F.B. Heron Foundation

### 2011 Expenditure Responsibility under Reg. 53-4945-5(d)

Data as of March 30, 2012

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1. Organization name and address:

Development Action Group  
101 Lower Main Road, Observatory

*Cape Town, South Africa 7925*

2. Grant's date and amount:

A grant of \$50,000.00 was approved on 12/8/2011

A payment of \$50,000.00 was made on 1/3/2012

3. Purpose of the grant:

For the People's Housing Process project in Khayelitsha.

4. Grant amount spent :

The Grant has been expended by the grantee as payments have been made.

5. Any part of the grant diverted:

No portions of the funds have been diverted from the purpose of the grant.

6. Date of report(s) received in 2011, if any:

A conversation with the grantee, reviewing progress against objectives, took place on ~~11/3/2011~~

7. Date and results of any verification of the grantees's reports undertaken by or at the direction of the grantor foundation:

N/A

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1. Organization name and address:

McKinsey & Company, Inc.  
55 East 52nd Street, Room 1827

*New York, 10055*

2. Grant's date and amount:

A grant of \$50,000.00 was approved on 11/1/2011

A payment of \$50,000.00 was made on 12/20/2011

3. Purpose of the grant:

To support the development of the Social Impact Bond ("SIB") Marketplace by: (1) assessing the size and potential of the US SIB Market; (2) supporting bringing SIBs to market; and (3) contributing to the development of a SIB implementation toolbox.

4. Grant amount spent :

The Grant has been expended by the grantee as payments have been made.

5. Any part of the grant diverted:

No portions of the funds have been diverted from the purpose of the grant.

6. Date of report(s) received in 2011, if any:

*NONE IN 2011*

7. Date and results of any verification of the grantees's reports undertaken by or at the direction of the grantor foundation:

N/A

## F.B. Heron Foundation

### 2011 Expenditure Responsibility under Reg. 53-4945-5(d)

Data as of March 30, 2012

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1. Organization name and address:

The FinMark Trust  
PO Box 61674

*Marshalltown 2107, South Africa*

2. Grant's date and amount:

A grant of \$25,000.00 was approved on 8/11/2011

A payment of \$25,000.00 was made on 9/13/2011

3. Purpose of the grant:

To support The Center for Affordable Housing Finance in Africa.

4. Grant amount spent :

The Grant has been expended by the grantee as payments have been made.

5. Any part of the grant diverted:

No portions of the funds have been diverted from the purpose of the grant.

6. Date of report(s) received in 2011, if any:

7. Date and results of any verification of the grantees's reports undertaken by or at the direction of the grantor foundation:  
N/A

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1. Organization name and address:

The Kuyasa Fund  
3, Wensch Road, Observatory

*Cape Town, South Africa*

2. Grant's date and amount:

A grant of \$300,000.00 was approved on 11/1/2011

A payment of \$150,000.00 was made on 12/29/2011

3. Purpose of the grant:

To be used for micro-loans to low-income households and home improvements.

4. Grant amount spent :

The Grant has been expended by the grantee as payments have been made.

5. Any part of the grant diverted:

No portions of the funds have been diverted from the purpose of the grant.

6. Date of report(s) received in 2011, if any:

An Interim Report was received on 4/6/2011

*CONVERSATION?*

7. Date and results of any verification of the grantees's reports undertaken by or at the direction of the grantor foundation:  
N/A

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N/A

# F.B. Heron Foundation

## 2011 Expenditure Responsibility under Reg. 53-4945-5(d)

Data as of March 30, 2012

Page 4 of 4

1. Organization name and address:

Thembani International Guarantee Fund  
1st Floor, Block 2  
Elevations Gardens  
Midrand

2. Grant's date and amount:

A grant of \$50,000.00 was approved on 11/5/2010

A payment of \$25,000.00 was made on 1/5/2011

3. Purpose of the grant:

Project support for organizational capacity enhancement for an organization that guarantees loans by banks to economically marginalized borrowers.

4. Grant amount spent :

The Grant has been expended by the grantee as payments have been made.

5. Any part of the grant diverted:

No portions of the funds have been diverted from the purpose of the grant.

6. Date of report(s) received in 2011, if any:

An Interim Report was received on 6/13/2011

~~An Interim Report was received on 6/13/2011~~

A Release-of-Payment conversation with the grantee, reviewing progress against objectives, took place on 11/9/2011

~~A Release-of-Payment conversation with the grantee, reviewing progress against objectives, took place on 11/9/2011~~

7. Date and results of any verification of the grantees's reports undertaken by or at the direction of the grantor foundation:

N/A

STMT #20

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

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

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

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

Enter filer's identifying number, see instructions

Type or print  File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions	Employer identification number (EIN) or
	<b>THE F.B. HERON FOUNDATION</b>	<input checked="" type="checkbox"/> <b>13-3647019</b>
	Number, street, and room or suite no. If a P.O. box, see instructions	Social security number (SSN)
	<b>100 BROADWAY, 17TH FLOOR</b>	<input type="checkbox"/>
	City, town or post office, state, and ZIP code. For a foreign address, see instructions	
	<b>NEW YORK, NY 10005</b>	

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

**0 4**

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

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

**The Foundation**

- The books are in the care of **100 BROADWAY, 17TH FLOOR - NEW YORK, NY 10005**  
Telephone No **(212) 404-1800** FAX No ☐
- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ☐. If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

- 4 I request an additional 3-month extension of time until **November 15, 2012**
- 5 For calendar year **2011**, or other tax year beginning \_\_\_\_\_, and ending \_\_\_\_\_
- 6 If the tax year entered in line 5 is for less than 12 months, check reason. ☐ Initial return ☐ Final return  
☐ Change in accounting period
- 7 State in detail why you need the extension  
**THE ORGANIZATION IS STILL WAITING FOR K-1S TO FILE A COMPLETE AND ACCURATE RETURN.**

8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	\$	<b>170,000.</b>
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$	<b>224,830.</b>
c <b>Balance due.</b> Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c	\$	<b>0.</b>

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

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

Signature  Title **CFA** Date **8/13/12**

Form 8868 (Rev. 1-2012)