

Form **8879-EO**

# IRS e-file Signature Authorization for an Exempt Organization

OMB No. 1545-0047

For calendar year 2020, or fiscal year beginning \_\_\_\_\_, 2020, and ending \_\_\_\_\_, 20\_\_

# 2020

Department of the Treasury  
Internal Revenue Service

▶ **Do not send to the IRS. Keep for your records.**  
▶ **Go to [www.irs.gov/Form8879EO](http://www.irs.gov/Form8879EO) for the latest information.**

Name of exempt organization or person subject to tax

Taxpayer identification number

**THE F.B. HERON FOUNDATION**

**13-3647019**

Name and title of officer or person subject to tax

**DANA K BEZERRA  
PRESIDENT**

## Part I Type of Return and Return Information (Whole Dollars Only)

Check the box for the return for which you are using this Form 8879-EO and enter the applicable amount, if any, from the return. If you check the box on line **1a, 2a, 3a, 4a, 5a, 6a, or 7a** below, and the amount on that line for the return being filed with this form was blank, then leave line **1b, 2b, 3b, 4b, 5b, 6b, or 7b**, whichever is applicable, blank (do not enter -0-). But, if you entered -0- on the return, then enter -0- on the applicable line below. **Do not** complete more than one line in Part I.

<b>1a</b> Form 990 check here	<input type="checkbox"/>	<b>b</b> Total revenue, if any (Form 990, Part VIII, column (A), line 12)	<b>1b</b> _____
<b>2a</b> Form 990-EZ check here	<input type="checkbox"/>	<b>b</b> Total revenue, if any (Form 990-EZ, line 9)	<b>2b</b> _____
<b>3a</b> Form 1120-POL check here	<input type="checkbox"/>	<b>b</b> Total tax (Form 1120-POL, line 22)	<b>3b</b> _____
<b>4a</b> Form 990-PF check here	<input checked="" type="checkbox"/>	<b>b</b> Tax based on investment income (Form 990-PF, Part VI, line 5)	<b>4b</b> <u>626,511.</u>
<b>5a</b> Form 8868 check here	<input type="checkbox"/>	<b>b</b> Balance due (Form 8868, line 3c)	<b>5b</b> _____
<b>6a</b> Form 990-T check here	<input type="checkbox"/>	<b>b</b> Total tax (Form 990-T, Part III, line 4)	<b>6b</b> _____
<b>7a</b> Form 4720 check here	<input type="checkbox"/>	<b>b</b> Total tax (Form 4720, Part III, line 1)	<b>7b</b> _____

## Part II Declaration and Signature Authorization of Officer or Person Subject to Tax

Under penalties of perjury, I declare that  I am an officer of the above organization or  I am a person subject to tax with respect to (name of organization) \_\_\_\_\_, (EIN) \_\_\_\_\_ and that I have examined a copy

of the 2020 electronic return and accompanying schedules and statements, and, to the best of my knowledge and belief, they are true, correct, and complete. I further declare that the amount in Part I above is the amount shown on the copy of the electronic return. I consent to allow my intermediate service provider, transmitter, or electronic return originator (ERO) to send the return to the IRS and to receive from the IRS (a) an acknowledgement of receipt or reason for rejection of the transmission, (b) the reason for any delay in processing the return or refund, and (c) the date of any refund. If applicable, I authorize the U.S. Treasury and its designated Financial Agent to initiate an electronic funds withdrawal (direct debit) entry to the financial institution account indicated in the tax preparation software for payment of the federal taxes owed on this return, and the financial institution to debit the entry to this account. To revoke a payment, I must contact the U.S. Treasury Financial Agent at 1-888-353-4537 no later than 2 business days prior to the payment (settlement) date. I also authorize the financial institutions involved in the processing of the electronic payment of taxes to receive confidential information necessary to answer inquiries and resolve issues related to the payment. I have selected a personal identification number (PIN) as my signature for the electronic return and, if applicable, the consent to electronic funds withdrawal.

**PIN: check one box only**

I authorize **Owen J Flanagan & Co** to enter my PIN **11434**  
ERO firm name Enter five numbers, but do not enter all zeros

as my signature on the tax year 2020 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I also authorize the aforementioned ERO to enter my PIN on the return's disclosure consent screen.

As an officer or person subject to tax with respect to the organization, I will enter my PIN as my signature on the tax year 2020 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I will enter my PIN on the return's disclosure consent screen.

Signature of officer or person subject to tax ▶ **\*\*\*\*\* THIS IS NOT A FILEABLE COPY \*\*\*** Date ▶ \_\_\_\_\_

## Part III Certification and Authentication

**ERO's EFIN/PIN.** Enter your six-digit electronic filing identification number (EFIN) followed by your five-digit self-selected PIN.

**13696116145**  
Do not enter all zeros

I certify that the above numeric entry is my PIN, which is my signature on the 2020 electronically filed return indicated above. I confirm that I am submitting this return in accordance with the requirements of **Pub. 4163, Modernized e-File (MeF) Information for Authorized IRS e-file Providers for Business Returns.**

ERO's signature ▶ \_\_\_\_\_ Date ▶ \_\_\_\_\_

**ERO Must Retain This Form - See Instructions  
Do Not Submit This Form to the IRS Unless Requested To Do So**

LHA For Paperwork Reduction Act Notice, see instructions.

Form **8879-EO** (2020)

**Return of Private Foundation**

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

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

**2020**

Open to Public Inspection

Form **990-PF**

Department of the Treasury  
Internal Revenue Service

For calendar year 2020 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>P.O. BOX 996</b>	Room/suite	B Telephone number <b>(475) 250-1020</b>
City or town, state or province, country, and ZIP or foreign postal code <b>NEW MILFORD, CT 06776</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>360,659,886.</b>	J Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
(Part I, column (d), must be on cash basis.)		

Part I Analysis of Revenue and Expenses <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)</small>		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
<b>Revenue</b>	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 .....				
	4 Dividends and interest from securities .....	5,757,476.	5,757,476.		Statement 2
	5a Gross rents .....				
	b Net rental income or (loss) .....				
	6a Net gain or (loss) from sale of assets not on line 10 .....	40,929,795.			Statement 1
	b Gross sales price for all assets on line 6a .....	43,184,032.			
	7 Capital gain net income (from Part IV, line 2) .....		41,329,795.		
	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 .....	64,601.	0.		Statement 3	
12 Total. Add lines 1 through 11 .....	46,751,872.	47,087,271.			
<b>Operating and Administrative Expenses</b>	13 Compensation of officers, directors, trustees, etc. ....	847,153.	63,033.		691,120.
	14 Other employee salaries and wages .....	2,156,935.	654,944.		1,273,448.
	15 Pension plans, employee benefits .....	838,010.	200,284.		725,945.
	16a Legal fees .....	57,311.	1,568.		55,743.
	b Accounting fees .....	73,826.	9,184.		43,530.
	c Other professional fees .....	1,695,757.	707,841.		995,190.
	17 Interest .....				
	18 Taxes .....	610,000.	0.		0.
	19 Depreciation and depletion .....				
	20 Occupancy .....	255,913.	60,898.		161,832.
	21 Travel, conferences, and meetings .....	13,413.	324.		17,125.
	22 Printing and publications .....				
	23 Other expenses .....	470,715.	316,464.		132,826.
	24 Total operating and administrative expenses. Add lines 13 through 23 .....	7,019,033.	2,014,540.		4,096,759.
	25 Contributions, gifts, grants paid .....	9,999,296.			6,776,947.
26 Total expenses and disbursements. Add lines 24 and 25 .....	17,018,329.	2,014,540.		10,873,706.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements .....	29,733,543.				
b Net investment income (if negative, enter -0-)		45,072,731.			
c Adjusted net income (if negative, enter -0-)			N/A		

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		871,932.	2,152,868.	2,152,868.
	2	Savings and temporary cash investments		6,593,987.	3,646,168.	3,646,168.
	3	Accounts receivable	760,587.			
		Less: allowance for doubtful accounts		664,411.	760,587.	760,587.
	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		337,679.	191,171.	191,171.
	10a	Investments - U.S. and state government obligations	Stmt 10	57,474,274.	79,426,895.	79,426,895.
	b	Investments - corporate stock	Stmt 11	175,520,396.	212,716,498.	212,716,498.
	c	Investments - corporate bonds	Stmt 12	19,285,092.	4,260,457.	4,260,457.
	11	Investments - land, buildings, and equipment: basis				
	Less: accumulated depreciation					
12	Investments - mortgage loans					
13	Investments - other	Stmt 13	59,505,724.	43,919,916.	43,919,916.	
14	Land, buildings, and equipment: basis					
	Less: accumulated depreciation					
15	Other assets (describe)	Statement 14)	12,146,689.	13,585,326.	13,585,326.	
16	<b>Total assets</b> (to be completed by all filers - see the instructions. Also, see page 1, item I)		332,400,184.	360,659,886.	360,659,886.	
Liabilities	17	Accounts payable and accrued expenses		501,264.	736,701.	
	18	Grants payable		252,600.	975,000.	
	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)	1,110,629.	1,071,268.	
	23	<b>Total liabilities</b> (add lines 17 through 22)		1,864,493.	2,782,969.	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here <input checked="" type="checkbox"/> and complete lines 24, 25, 29, and 30.					
	24	Net assets without donor restrictions		330,535,691.	357,876,917.	
	25	Net assets with donor restrictions				
	Foundations that do not follow FASB ASC 958, check here <input type="checkbox"/> and complete lines 26 through 30.					
	26	Capital stock, trust principal, or current funds				
	27	Paid-in or capital surplus, or land, bldg., and equipment fund				
	28	Retained earnings, accumulated income, endowment, or other funds				
	29	<b>Total net assets or fund balances</b>		330,535,691.	357,876,917.	
30	<b>Total liabilities and net assets/fund balances</b>		332,400,184.	360,659,886.		

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year - Part II, column (a), line 29 (must agree with end-of-year figure reported on prior year's return)	1	330,535,691.
2	Enter amount from Part I, line 27a	2	29,733,543.
3	Other increases not included in line 2 (itemize)	3	0.
4	Add lines 1, 2, and 3	4	360,269,234.
5	Decreases not included in line 2 (itemize) See Statement 9	5	2,392,317.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 29	6	357,876,917.

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

(a) List and describe the kind(s) of property sold (for example, real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a			
b See Attached Statements			
c			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))
a			
b			
c			
d			
e 43,184,032.		1,854,237.	41,329,795.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69.			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(i) 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			
b			
c			
d			
e			41,329,795.

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	41,329,795.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). See instructions. If (loss), enter -0- in Part I, line 8 .....	3	N/A

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

**SECTION 4940(e) REPEALED ON DECEMBER 20, 2019 - DO NOT COMPLETE.**

1 Reserved			
(a) Reserved	(b) Reserved	(c) Reserved	(d) Reserved
Reserved			
Reserved			
Reserved			
Reserved			
Reserved			
Reserved			
2 Reserved .....			2
3 Reserved .....			3
4 Reserved .....			4
5 Reserved .....			5
6 Reserved .....			6
7 Reserved .....			7
8 Reserved .....			8

**Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 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)			
b Reserved		1	626,511.
c All other domestic foundations enter 1.39% 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	626,511.
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	626,511.
6 Credits/Payments:			
a 2020 estimated tax payments and 2019 overpayment credited to 2020	6a		644,466.
b Exempt foreign organizations - tax withheld at source	6b		0.
c Tax paid with application for extension of time to file (Form 8868)	6c		60,000.
d Backup withholding erroneously withheld	6d		0.
7 Total credits and payments. Add lines 6a through 6d		7	704,466.
8 Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached		8	0.
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	77,955.
11 Enter the amount of line 10 to be: <b>Credited to 2021 estimated tax</b> <input type="checkbox"/> <b>Refunded</b> <input checked="" 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
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
c Did the foundation file <b>Form 1120-POL</b> 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 <b>Form 990-T</b> for this year?		N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by <i>General Instruction T</i> .		X
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, CT</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 <i>General Instruction G</i> ? 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 2020 or the tax year beginning in 2020? See the 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

Part VII-A Statements Regarding Activities (continued)

11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges?
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application?
14 The books are in care of The Foundation Telephone no: (475) 250-1020
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - check here
16 At any time during calendar year 2020, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?

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

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

1a During the year, did the foundation (either directly or indirectly):
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?
(6) Agree to pay money or property to a government official?
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?
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 2020?
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):
a At the end of tax year 2020, did the foundation have any undistributed income (Part XIII, lines 6d and 6e) for tax year(s) beginning before 2020?
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income?
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?
b If "Yes," did it have excess business holdings in 2020 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?
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2020?

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

**5a** During the year, did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?  Yes  No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?  Yes  No

(3) Provide a grant to an individual for travel, study, or other similar purposes?  Yes  No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions  Yes  No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?  Yes  No

**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions  N/A **5b**

Organizations relying on a current notice regarding disaster assistance, check here

**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?  N/A  Yes  No

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

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

**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?  Yes  No **6b** X

If "Yes" to 6b, file Form 8870.

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

**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?  N/A **7b**

**8** Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year?  Yes  No

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

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

(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		847,153.	150,871.	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
PREETI BHATTACHARJI C/O FOUNDATION, NEW MILFORD, CT 06776	VP - INTEGRATED CAPITAL 40.00	258,974.	70,039.	0.
BRENDAN MAHER C/O FOUNDATION, NEW MILFORD, CT 06776	VP - INTEGRATED CAPITAL 40.00	245,406.	80,773.	0.
BARBARA VANSKOY C/O FOUNDATION, NEW MILFORD, CT 06776	FIXED INCOME FELLOW 40.00	198,084.	78,874.	0.
KELLY RYAN C/O FOUNDATION, NEW MILFORD, CT 06776	FELLOW 40.00	198,409.	64,394.	0.
AMY ORR C/O FOUNDATION, NEW MILFORD, CT 06776	DIRECTOR INTEGRATED CAPITAL 40.00	152,993.	25,824.	0.
<b>Total</b> number of other employees paid over \$50,000				10

**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
TILT INVESTMENT MANAGEMENT 2212 QUEEN ANNE AVE N, SEATTLE, WA 98109	INVESTMENT CONSULTING	300,000.
BBMG 20 JAY STREET, BROOKLYN, NY 11201	CONSULTING	129,700.
ON-RAMPS SERVICES 2500 WESTON ROAD, WESTON, FL 33331	RECRUITING	128,175.
APERIO THREE HARBOR DRIVE, SAUSALITO, CA 94965	INVESTMENT ADVICE	123,738.
SONNICK PARTNERS 860 BROADWAY, NEW YORK, NY 10003	CONSULTING	92,086.
Total number of others receiving over \$50,000 for professional services		9

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

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 PROVIDING ASSISTANCE TO OTHER CHARITABLE ORGANIZATIONS THROUGH BOARD SERVICE, CONVENING CONFERENCES AND MEETINGS AND PROVIDING DIRECT TECHNICAL ASSISTANCE	100,000.
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 NEW HAVEN BANK PRI DEPOSIT	3,000,000.
2 BRIDGES US	887,012.
All other program-related investments. See instructions.	
3 BLUE HIGHWAY GROWTH CAPITAL FUND	55,250.
Total. Add lines 1 through 3	3,942,262.



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

1 Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:			
a	Average monthly fair market value of securities .....	1a	307,292,411.
b	Average of monthly cash balances .....	1b	4,546,620.
c	Fair market value of all other assets .....	1c	1,201,263.
d	<b>Total</b> (add lines 1a, b, and c) .....	1d	313,040,294.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) .....	1e	0.
2	Acquisition indebtedness applicable to line 1 assets .....	2	0.
3	Subtract line 2 from line 1d .....	3	313,040,294.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) .....	4	4,695,604.
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4 .....	5	308,344,690.
6	<b>Minimum investment return.</b> Enter 5% of line 5 .....	6	15,417,235.

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

1	Minimum investment return from Part X, line 6 .....	1	15,417,235.
2a	Tax on investment income for 2020 from Part VI, line 5 .....	2a	626,511.
b	Income tax for 2020. (This does not include the tax from Part VI.) .....	2b	
c	Add lines 2a and 2b .....	2c	626,511.
3	Distributable amount before adjustments. Subtract line 2c from line 1 .....	3	14,790,724.
4	Recoveries of amounts treated as qualifying distributions .....	4	3,625.
5	Add lines 3 and 4 .....	5	14,794,349.
6	Deduction from distributable amount (see instructions) .....	6	0.
7	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 .....	7	14,794,349.

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

1 Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:			
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26 .....	1a	10,873,706.
b	Program-related investments - total from Part IX-B .....	1b	3,942,262.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes .....	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required) .....	3a	
b	Cash distribution test (attach the required schedule) .....	3b	
4	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8; and Part XIII, line 4 .....	4	14,815,968.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b .....	5	0.
6	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4 .....	6	14,815,968.

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

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

	(a) Corpus	(b) Years prior to 2019	(c) 2019	(d) 2020
1 Distributable amount for 2020 from Part XI, line 7				14,794,349.
2 Undistributed income, if any, as of the end of 2020:				
a Enter amount for 2019 only			13,374,491.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2020:				
a From 2015				
b From 2016				
c From 2017				
d From 2018				
e From 2019				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2020 from Part XII, line 4: ▶ \$ 14,815,968.				
a Applied to 2019, but not more than line 2a			13,374,491.	
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 2020 distributable amount				1,441,477.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2020 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	0.			
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 2019. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2020. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2021				13,352,872.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2015 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2021. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2016				
b Excess from 2017				
c Excess from 2018				
d Excess from 2019				
e Excess from 2020				

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

**1 a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2020, enter the date of the ruling ▶

**b** Check box to indicate whether the foundation is a private operating foundation described in section  4942(j)(3) or  4942(j)(5)

	Tax year				(e) Total
	(a) 2020	(b) 2019	(c) 2018	(d) 2017	
<b>2 a</b> Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
<b>b</b> 85% of line 2a					
<b>c</b> Qualifying distributions from Part XII, line 4, for each year listed					
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities					
<b>e</b> Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
<b>3</b> Complete 3a, b, or c for the alternative test relied upon:					
<b>a</b> "Assets" alternative test - enter:					
<b>(1)</b> Value of all assets					
<b>(2)</b> Value of assets qualifying under section 4942(j)(3)(B)(i)					
<b>b</b> "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6, for each year listed					
<b>c</b> "Support" alternative test - enter:					
<b>(1)</b> Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
<b>(2)</b> Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
<b>(3)</b> Largest amount of support from an exempt organization					
<b>(4)</b> Gross investment income					

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

**1 Information Regarding Foundation Managers:**  
**a** List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000). (See section 507(d)(2).)  
 None

**b** List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.  
 None

**2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**  
 Check here  if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc., to individuals or organizations under other conditions, complete items 2a, b, c, and d.

**a** The name, address, and telephone number or email address of the person to whom applications should be addressed:  
**THE F.B. HERON FOUNDATION, 475-250-1020**  
**PO BOX 996, NEW MILFORD, CT 06776**

**b** The form in which applications should be submitted and information and materials they should include:  
**PLEASE REFER TO THE WEBSITE - WWW.HERON.ORG**

**c** Any submission deadlines:  
**NONE**

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

**Part XV** Supplementary Information (continued)

<b>3 Grants and Contributions Paid During the Year or Approved for Future Payment</b>				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a Paid during the year</b>				
Achieve Foundation of South Orange & Maplewood PO BOX 1084 Maplewood, NJ 07040		501(c)(3) Public Charity	General Operating	1,000.
Alex C Dove Foundation Inc. 928 Sussex Ct Nekoosa, WI 54457		501(c)(3) Public Charity	General Operating	1,000.
Alex C Dove Foundation Inc. 928 Sussex Ct Nekoosa, WI 54457		501(c)(3) Public Charity	General Operating	500.
Alex C Dove Foundation Inc. 928 Sussex Ct Nekoosa, WI 54457		501(c)(3) Public Charity	General Operating	2,500.
American Civil Liberties Union Foundation 125 Broad Street, 18th Floor New York, NY 10004		501(c)(3) Public Charity	General Operating	50.
<b>Total</b> ..... See continuation sheet(s) ▶ <b>3a</b>				6,776,947.
<b>b Approved for future payment</b>				
The Lincoln Institute of Land Policy 113 Brattle Street Cambridge, MA 02138-3400		501(c)(3) Private Operating Fo	Market Intelligence	150,000.
Self-Help Enterprises P. O. Box 6520 Visalia, CA 93290-6520		501(c)(3) Public Charity	General Operating	150,000.
Maine Initiatives, Inc. 56 North Street, Suite 100 Portland, ME 04101		501(c)(3) Public Charity	General Operating	100,000.
<b>Total</b> ..... See continuation sheet(s) ▶ <b>3b</b>				975,000.

Part XVI-A Analysis of Income-Producing Activities

Table with 5 main columns: (a) Business code, (b) Amount, (c) Exclusion code, (d) Amount, (e) Related or exempt function income. Rows include Program service revenue (Contract Fee), Membership dues, Interest on savings, Dividends, Net rental income, Other investment income, Gain from sales, and Subtotal. Total amount is 46,751,872.

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

Table with 2 columns: Line No. and Description. Line 1: LICENSING REVENUE FROM US COMMUNITY INVESTING INDEX.

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

Table with 3 columns: Question, Yes, No. Rows include: 1 Did the organization directly or indirectly engage in any of the following... a Transfers from the reporting foundation... b Other transactions... c Sharing of facilities... d If the answer to any of the above is "Yes," complete the following schedule.

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

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

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

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

May the IRS discuss this return with the preparer shown below? See instr. [X] Yes [ ] No

Table for Paid Preparer Use Only. Fields: Print/Type preparer's name (Kevin Sunkel), Preparer's signature, Date, Check [ ] if self-employed, PTIN (P00706145), Firm's name (Owen J Flanagan & Co), Firm's EIN (13-2060851), Firm's address (60 East 42nd Street, New York, NY 10165), Phone no. (212-682-2783)

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 PUBLICLY TRADED SECURITIES	P		
b SJF II	P		
c SOUTHERN APPALACHIAN			
d CA SMART GROWTH FUND	P		
e CANYON JOHNSON			
f HUNTINGTON CAPITAL II			
g URBAN AMERICA II			
h YUCAIPA	P		
i YUCAIPA II			
j HUNTINGTON CAPITAL III			
k SJF III	P		
l DBL			
m SJF IV	P		
n HUNTINGTON CAPITAL IV	P		
o OWNERSHIP CAPITAL	P		

(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 5,004,566.			5,004,566.
b 166,857.			166,857.
c			0.
d 6,821.			6,821.
e		11,007.	-11,007.
f		96,273.	-96,273.
g		46,313.	-46,313.
h 82,832.			82,832.
i		1,250,613.	-1,250,613.
j		259,683.	-259,683.
k 447,548.			447,548.
l		190,348.	-190,348.
m 571,247.			571,247.
n 723,602.			723,602.
o 1,073,377.			1,073,377.

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			5,004,566.
b			166,857.
c			0.
d			6,821.
e			-11,007.
f			-96,273.
g			-46,313.
h			82,832.
i			-1,250,613.
j			-259,683.
k			447,548.
l			-190,348.
m			571,247.
n			723,602.
o			1,073,377.

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 USCII COMMINGLED FUND	P		
b CLASS ACTIONS	P		
c			
d			
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 35,101,384.			35,101,384.
b 5,798.			5,798.
c			
d			
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) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			35,101,384.
b			5,798.
c			
d			
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	41,329,795.
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



**Part XV** Supplementary Information

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
American Farmland Trust 1150 Connecticut Ave. Nw Ste 600 Washington, DC 20036		501(c)(3) Public Charity	General Operating	2,500.
American Heart Association, Inc. 7272 Greenville Avenue Dallas, TX 75231		501(c)(3) Public Charity	General Operating	100.
Assistance League of Minneapolis - St. Paul 6416 Penn Avenue S Richfield, MN 55423-1141		501(c)(3) Public Charity	General Operating	500.
Barrett Memorial Hall PO Box 224 South Strafford, VT 05070		501(c)(3) Public Charity	General Operating	3,000.
Baton Rouge Sponsoring Committee c/o Together Baton Rouge Baton Rouge, LA 32254		501(c)(3) Public Charity	General Operating	25,000.
Bethel Evangelical Baptist Church 422 Luray Street Jacksonville, FL 32254		501(c)(3) Public Charity	General Operating	2,000.
Board of Management of Harrybrooke Park 100 Still River Drive New Milford, CT 06776		501(c)(3) Public Charity	General Operating	1,500.
Boys & Girls Club of Clifton, Inc. 822 Clifton Avenue Clifton, NJ 07013		501(c)(3) Public Charity	General Operating	2,000.
Boys & Girls Club of Clifton, Inc. 822 Clifton Avenue Clifton, NJ 07013		501(c)(3) Public Charity	General Operating	4,200.
Bridges Impact Foundation 505 8th Avenue, Room 1805 New York, NY 10018		501(c)(3) Public Charity	Market Intelligence	25,000.
<b>Total from continuation sheets</b>				<b>6,771,897.</b>

**Part XV** Supplementary Information

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
California Forward 127 University Ave Berkeley, CA 94710		501(c)(3) Public Charity	Market Intelligence	75,000.
California State University Fresno Foundation 5241 N. Maple Avenue Fresno, CA 93740		501(c)(3) Public Charity	Market Intelligence	50,000.
Calumet Theatre Company 340 Sixth St. Calumet, MI 49913		501(c)(3) Public Charity	General Operating	100.
Calvert Impact Capital, Inc. 7315 Wisconsin Ave. Suite 1000W Bethesda, MD 20814		501(c)(3) Public Charity	General Operating	100,000.
Calvert Impact Capital, Inc. 7315 Wisconsin Ave. Suite 1000W Bethesda, MD 20814		501(c)(3) Public Charity	Technical Assistance	75,000.
Capital Impact Partners 1400 Crystal Drive, Suite 500 Arlington, VA 22202		501(c)(3) Public Charity	Enterprise Capital	500,000.
Carl's Village 15451 SW 15th Street Weston, FL 33326		501(c)(3) Public Charity	General Operating	1,000.
Carl's Village 15451 SW 15th Street Weston, FL 33326		501(c)(3) Public Charity	General Operating	1,200.
Carl's Village 15451 SW 15th Street Weston, FL 33326		501(c)(3) Public Charity	General Operating	299.
Center for Common Ground 18459 Patriot Ln Ruther Glen, VA 22546		501(c)(3) Public Charity	General Operating	1,000.
<b>Total from continuation sheets</b> .....				

**Part XV** Supplementary Information

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Center for Economic Democracy 434 Massachusetts Avenue, Boston, MA 02118		501(c)(3) Public Charity	Market Intelligence	15,000.
Central Valley Community Foundation 5260 N Palm Ave, Ste. 122 Fresno, CA 93704		501(c)(3) Public Charity	Market Intelligence	250,000.
Central Valley Community Foundation 5260 N Palm Ave, Ste. 122 Fresno, CA 93704		501(c)(3) Public Charity	General Operating	102,000.
Central Valley Community Foundation 5260 N Palm Ave, Ste. 122 Fresno, CA 93704		501(c)(3) Public Charity	Market Intelligence	20,000.
Central Valley Community Foundation 5260 N Palm Ave, Ste. 122 Fresno, CA 93704		501(c)(3) Public Charity	Market Intelligence	100,000.
Central Wisconsin Community Action Council Inc 1000 Hwy 13 Wisconsin Dells, WI 53965		501(c)(3) Public Charity	General Operating	200.
Children's Center of New Milford, Inc. 11 A Aspetuck Avenue New Milford, CT 06776		501(c)(3) Public Charity	General Operating	1,000.
Children's Center of New Milford, Inc. 11 A Aspetuck Avenue New Milford, CT 06776		501(c)(3) Public Charity	General Operating	5,000.
Children's Center of New Milford, Inc. 11 A Aspetuck Avenue New Milford, CT 06776		501(c)(3) Public Charity	General Operating	545.
Church of the Resurrection P.O. Box 206 Little Switzerland, NC 28749		501(c)(3) Public Charity	General Operating	2,500.
<b>Total from continuation sheets</b>				

**Part XV Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Church of the Resurrection P.O. Box 206 Little Switzerland, NC 28749		501(c)(3) Public Charity	General Operating	2,500.
Coalition of Immokalee Workers P.O.Box 603 Immokalee, FL 34143		501(c)(3) Public Charity	General Operating	2,000.
Coastal Enterprises, Inc. 30 Federal Street Brunswick, ME 04011		501(c)(3) Public Charity	Enterprise Capital	210,000.
Coastal Enterprises, Inc. 30 Federal Street Brunswick, ME 04011		501(c)(3) Public Charity	General Operating	150,000.
College of Charleston Foundation 66 George Street Charleston, SC 29424		501(c)(3) Public Charity	Market Intelligence	58,000.
Committee Encouraging Corporate Philanthropy 85 Broad Street, 27th Floor New York, NY 10004		501(c)(3) Public Charity	General Operating	150,000.
Common Future 2323 Broadway Oakland, CA 94612		501(c)(3) Public Charity	General Operating	150,000.
Community Reinvestment Fund, Inc. 801 Nicollet Mall, Suite 1700 West Minneapolis, MN 55402		501(c)(3) Public Charity	Technical Assistance	500,000.
Community Vision Capital & Consulting 870 Market Street, Suite 677 San Francisco, CA 94102		501(c)(3) Public Charity	Market Intelligence	50,000.
Congregation Beit Simchat Torah of New York, Inc. 130 West 30th St. New York, NY 10001		501(c)(3) Public Charity	General Operating	1,000.
<b>Total from continuation sheets</b>				

**Part XV** Supplementary Information

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Delbarton School 230 Mendham Road Morristown, NJ 07960		501(c)(3) Public Charity	General Operating	1,000.
Doctors Without Borders USA, Inc. PO Box 5030 Hagerstown, MD 21741		501(c)(3) Public Charity	General Operating	500.
Earth Rising, Inc. PO Box 696 Tonganoxie, KS 66086		501(c)(3) Public Charity	General Operating	950.
Earth Rising, Inc. PO Box 696 Tonganoxie, KS 66086		501(c)(3) Public Charity	General Operating	5,000.
Ecotrust 721 NW 9th Avenue, Suite 200 Portland, OR 97209		501(c)(3) Public Charity	General Operating	25,000.
Eglise Evangelique De Dieu En Christ 3501 Tilden Ave Brooklyn, NY 11203		501(c)(3) Public Charity	General Operating	1,000.
EXHALE TO INHALE INC 5 Roosevelt Avenue Pennington, NJ 08534		501(c)(3) Public Charity	General Operating	4,350.
Faith in the Valley 2027 E. Harding Way Stockton, CA 95205		501(c)(3) Public Charity	General Operating	50,000.
Faith in the Valley 2027 E. Harding Way Stockton, CA 95205		501(c)(3) Public Charity	General Operating	210,000.
Feed My Starving Children, Inc. 401 93rd Avenue NW Coon Rapids, MN 55433		501(c)(3) Public Charity	General Operating	2,500.
<b>Total from continuation sheets</b>				

**Part XV** Supplementary Information

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Feeding Our Community with United Services 2511 8th Street S #242 Wisconsin Rapids, WI 54494		501(c)(3) Public Charity	General Operating	200.
Four Directions Development Corporation 20 Godfrey Drive Orono, ME 04473		501(c)(3) Public Charity	General Operating	27,000.
Fresno Economic Opportunities Commission 1920 Mariposa Street, Suite 300 Fresno, CA 93721		501(c)(3) Public Charity	Market Intelligence	100,000.
Fresno Metropolitan Ministry 4270 N Blackstone Ave Ste 212 Fresno, CA 93726		501(c)(3) Public Charity	General Operating	65,000.
Friends of Brooklyn Collaborative Studies Inc. 610 Henry Street Brooklyn, NY 11231		501(c)(3) Public Charity	General Operating	750.
Friends of Morrill Homestead PO Box 98 Strafford, VT 05072		501(c)(3) Public Charity	General Operating	3,000.
Frost Valley YMCA 2000 Frost Valley Road Claryville, NY 12725		501(c)(3) Public Charity	General Operating	500.
Gay Men's Health Crisis, Inc. 307 West 38th Street Frnt 3 New York, NY 10018		501(c)(3) Public Charity	General Operating	1,000.
Girl Scouts of the USA 420 Fifth Avenue NY, NY 10018		501(c)(3) Public Charity	General Operating	2,000.
Global Impact Investing Network One Battery Park Plaza New York, NY 10004		501(c)(3) Public Charity	General Operating	20,000.
<b>Total from continuation sheets</b>				

**Part XV Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Good Jobs First 1380 Monroe St NW, PMB 405 Washington, DC 20010		501(c)(3) Public Charity	General Operating	50,000.
Good Shepherd Food Bank PO Box 1807 Auburn, ME 04211		501(c)(3) Public Charity	General Operating	95,000.
Good Shepherd Food Bank PO Box 1807 Auburn, ME 04211		501(c)(3) Public Charity	General Operating	55,000.
Greater Minneapolis Crisis Nursery 4544 4th Avenue South Minneapolis, MN 55419		501(c)(3) Public Charity	General Operating	500.
Green Bridge Growers 61591 Bremen Highway Mishiwaka, IN 46544		501(c)(3) Public Charity	General Operating	1,250.
Gulf of Maine Research Institute 350 Commercial St. Portland, ME 04101		501(c)(3) Public Charity	General Operating	120,000.
Gulf of Maine Research Institute 350 Commercial St. Portland, ME 04101		501(c)(3) Public Charity	General Operating	1,500.
Honor the Earth PO Box 63 Callaway, MN 56521		501(c)(3) Public Charity	Business Planning	108,000.
Hooker County Community Foundation Inc. PO Box 66 Mullen, NE 69152		501(c)(3) Public Charity	General Operating	3,000.
Hope Enterprise Corporation 4 Old River Place Jackson, MS 39202		501(c)(3) Public Charity	General Operating	75,000.
<b>Total from continuation sheets</b>				

**Part XV** Supplementary Information

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Hosanna Corporation PO Box 121135 Fort Lauderdale, FL 33312		501(c)(3) Public Charity	General Operating	1,000.
Hosanna Corporation PO Box 121135 Fort Lauderdale, FL 33312		501(c)(3) Public Charity	General Operating	700.
Housing Rights Initiative 27 West 60th St. New York, NY 10023		501(c)(3) Public Charity	General Operating	1,000.
Housing Rights Initiative 27 West 60th St. New York, NY 10023		501(c)(3) Public Charity	General Operating	1,000.
Impact Assets Inc 7315 Wisconsin Avenue, Suite 1000W Bethesda, MD 20814		501(c)(3) Public Charity	Technical Assistance	150,000.
Impact Capital Managers Institute Inc. 620 8th Ave. New York, NY 10018		501(c)(3) Public Charity	General Operating	50,000.
Incourage Community Foundation Inc. 478 East Grand Ave. Wisconsin Rapids, WI 54494		501(c)(3) Public Charity	General Operating	1,000.
Incourage Community Foundation Inc. 478 East Grand Ave. Wisconsin Rapids, WI 54494		501(c)(3) Public Charity	General Operating	500.
Jackson Medical Mall Foundation 350 W. Woodrow Wilson Ave. Jackson, MS 39213		501(c)(3) Public Charity	Market Intelligence	150,000.
K9s For Warriors 114 Camp K9 Road Ponte Vedra, FL 32081		501(c)(3) Public Charity	General Operating	2,500.
<b>Total from continuation sheets</b>				



**Part XV Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Keweenaw Community Foundation 236 Quincy St Hancock, MI 49930		501(c)(3) Public Charity	General Operating	100.
KIPP Team and Family Schools Inc 60 PARK PL STE 802 Newark, NJ 07102		501(c)(3) Public Charity	General Operating	1,000.
KIPP Team and Family Schools Inc 60 PARK PL STE 802 Newark, NJ 07102		501(c)(3) Public Charity	General Operating	1,000.
Laboratoria Inc 61 Greenpoint Ave Brooklyn, NY 11222		501(c)(3) Public Charity	General Operating	2,250.
Laboratoria Inc 61 Greenpoint Ave Brooklyn, NY 11222		501(c)(3) Public Charity	General Operating	100.
Laboratoria Inc 61 Greenpoint Ave Brooklyn, NY 11222		501(c)(3) Public Charity	General Operating	100.
Lambda Legal Defense and Education Fund, Inc. 120 Wall Street, 19th Fl New York, NY 10005		501(c)(3) Public Charity	General Operating	2,000.
Leadership Counsel for Justice and Accountability 2210 San Joaquin Street Fresno, CA 93721		501(c)(3) Public Charity	General Operating	165,000.
Leadership Counsel for Justice and Accountability 2210 San Joaquin Street Fresno, CA 93721		501(c)(3) Public Charity	General Operating	100,000.
League of Women Voters of Wisconsin 3050 Townline Rd Wisconsin Rapids, WI 54494		501(c)(3) Public Charity	General Operating	100.
<b>Total from continuation sheets</b>				

**Part XV** Supplementary Information

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
League of Women Voters of Wisconsin 3050 Townline Rd Wisconsin Rapids, WI 54494		501(c)(3) Public Charity	General Operating	200.
Lever, Inc. 85 Main St, Suite 218 North Adams, MA 01247		501(c)(3) Public Charity	General Operating	5,000.
Little Brothers Friends of the Elderly - Upper Michigan Chapter 527 Hancock St Hancock, MI 49930		501(c)(3) Public Charity	General Operating	100.
Little Brothers Friends of the Elderly - Upper Michigan Chapter 527 Hancock St Hancock, MI 49930		501(c)(3) Public Charity	General Operating	300.
Maine Community Foundation, Inc. 50 Monument Square, 6th floor Portland, ME 04101		501(c)(3) Public Charity	Pass-Thru	10,125.
Maine Development Foundation 2 Beech St Unit 203 Hallowell, ME 04347		501(c)(3) Public Charity	General Operating	40,000.
Maine Initiatives, Inc. 56 North Street, Suite 100 Portland, ME 04101		501(c)(3) Public Charity	General Operating	75,000.
Maine Initiatives, Inc. 56 North Street, Suite 100 Portland, ME 04101		501(c)(3) Public Charity	General Operating	100,000.
Maine Initiatives, Inc. 56 North Street, Suite 100 Portland, ME 04101		501(c)(3) Public Charity	General Operating	1,500.
Maine Initiatives, Inc. 56 North Street, Suite 100 Portland, ME 04101		501(c)(3) Public Charity	General Operating	1,000.
<b>Total from continuation sheets</b> .....				

**Part XV** Supplementary Information

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Maine Women's Fund 74 Lunt Road, Suite 100 Falmouth, ME 04105		501(c)(3) Public Charity	General Operating	1,000.
Mary Reynolds Babcock Foundation Inc. 2920 Reynolda Road Winston-Salem, NC 27106-3016		501(c)(3) Private Nonoperating	Enterprise Capital	500,000.
Meeting Essential Needs With Dignity Inc P.O. Box 1304 Maplewood, NJ 07040		501(c)(3) Public Charity	General Operating	2,000.
Metro IAF, Inc. 89-60 164th Street Jamaica, NY 11432		501(c)(3) Public Charity	General Operating	55,000.
Mission Investors Exchange 417 Fifth Avenue New York, NY 10016		501(c)(3) Public Charity	Membership	150,000.
Mixteca Organization Inc. 245 23rd Street, 2nd Fl Brooklyn, NY 11215		501(c)(3) Public Charity	General Operating	1,600.
Morrill Memorial Library PO Box 110 Strafford, VT 05072		501(c)(3) Public Charity	General Operating	3,000.
National Organization on Disability 77 Water Street, Suite 204 New York, NY 10028		501(c)(3) Public Charity	General Operating	15,000.
New Georgia Project Incorporated 830 Glenwood Ave. SE, Suite 510-221 Atlanta, GA 30316		501(c)(3) Public Charity	General Operating	1,000.
New Milford Economic Development Corporation P.O. Box 387 New Milford, CT 06776		501(c)(3) Public Charity	General Operating	10,000.
<b>Total from continuation sheets</b>				

**Part XV** Supplementary Information

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
New Profit Inc. 225 Franklin Street Suite 350 Boston, MA 02110		501(c)(3) Public Charity	General Operating	2,000.
New Sun Rising PO Box 58005 Millvale, PA 15209		501(c)(3) Public Charity	General Operating	42,000.
New York Public Radio 160 Varick Street New York, NY 10013		501(c)(3) Public Charity	General Operating	1,000.
Northern Forest Center, Inc. 18 North Main St., Suite 204 Concord, NH 03301		501(c)(3) Public Charity	General Operating	40,000.
Philadelphia Ronald McDonald House Inc. 3925 Chestnut Street Philadelphia, PA 19104		501(c)(3) Public Charity	General Operating	5,000.
Philanthropy New York 320 East 43rd Street New York, NY 10017		501(c)(3) Public Charity	Membership	15,100.
Plan A Health Inc 700 Columbus Avenue, FRNT 4 New York, NY 10025		501(c)(3) Public Charity	General Operating	5,000.
PolicyLink 1438 Webster Street, Suite 303 Oakland, CA 94612		501(c)(3) Public Charity	General Operating	25,000.
Portland Stage Company, Inc. 25 Forest Ave. Portland, ME 04104		501(c)(3) Public Charity	General Operating	2,000.
Portland Stage Company, Inc. 25 Forest Ave. Portland, ME 04104		501(c)(3) Public Charity	General Operating	8,000.
<b>Total from continuation sheets</b> .....				

**Part XV** Supplementary Information

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Pratt Nature Center Inc 163 Paper Mill Rd New Milford, CT 06776		501(c)(3) Public Charity	General Operating	1,500.
Preble Street 38 Preble Street Portland, ME 04101		501(c)(3) Public Charity	General Operating	8,500.
Preble Street 38 Preble Street Portland, ME 04101		501(c)(3) Public Charity	General Operating	1,500.
Project C.U.R.E/Benevolent Healthcare Foundation 10377 E. Geddes Ave. Ste. 200 Centennial, CO 80112		501(c)(3) Public Charity	General Operating	103.
PTA of ps 261k 314 Pacific Street Brooklyn, NY 11201		501(c)(3) Public Charity	General Operating	500.
PTA of ps 261k 314 Pacific Street Brooklyn, NY 11201		501(c)(3) Public Charity	General Operating	200.
Public Schools of Calumet Laurium & Keweenaw Foundation 57070 Mine St Calumet, MI 49913		501(c)(3) Public Charity	General Operating	100.
Red Hook Initiative, Inc. 767 Hicks Street Brooklyn, NY 11231		501(c)(3) Public Charity	General Operating	3,000.
Red Hook Playgroup 295 Columbia Street Brooklyn, NY 11231		501(c)(3) Public Charity	General Operating	1,000.
Red Hook Playgroup 295 Columbia Street Brooklyn, NY 11231		501(c)(3) Public Charity	General Operating	2,000.
<b>Total from continuation sheets</b>				

**Part XV Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Reformed Dutch Church at Green Point 136 Milton Street Brooklyn, NY 11222-0026		501(c)(3) Public Charity	General Operating	1,000.
Reformed Dutch Church at Green Point 136 Milton Street Brooklyn, NY 11222-0026		501(c)(3) Public Charity	General Operating	1,500.
Renaissance Christian Church 8 W 126th Street New York, NY 10027		501(c)(3) Public Charity	General Operating	1,000.
Renaissance Christian Church 8 W 126th Street New York, NY 10027		501(c)(3) Public Charity	General Operating	500.
Renaissance Christian Church 8 W 126th Street New York, NY 10027		501(c)(3) Public Charity	General Operating	300.
Rising Tide Capital 384 Martin Luther King Drive Jersey City, NJ 07305		501(c)(3) Public Charity	General Operating	50,000.
Rockefeller Philanthropy Advisors, Inc. 6 West 48th Street, 10th Floor New York, NY 10036		501(c)(3) Public Charity	Market Intelligence	50,000.
Room for ALL, Inc. P.O. Box 66022 West Des Moines, IA 50265		501(c)(3) Public Charity	General Operating	1,000.
Royal Society of Arts (RSA) US 2207 Forest Hills Drive Harrisburg, PA 17112		501(c)(3) Public Charity	Market Intelligence	25,000.
Royal Society of Arts (RSA) US 2207 Forest Hills Drive Harrisburg, PA 17112		501(c)(3) Public Charity	Technical Assistance	100,000.
<b>Total from continuation sheets</b>				

**Part XV Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Royal Society of Arts (RSA) US 2207 Forest Hills Drive Harrisburg, PA 17112		501(c)(3) Public Charity	General Operating	50,000.
Samaritan's Purse PO Box 3000 Boone, NC 28607		501(c)(3) Public Charity	General Operating	350.
Search Ministries, Inc. 7400 Metro Blvd. Suite 210 Edina, MN 55439		501(c)(3) Public Charity	General Operating	2,000.
Second Harvest Heartland 1140 Gervais Avenue Maplewood, MN 55109		501(c)(3) Public Charity	General Operating	2,500.
Self-Help Enterprises P. O. Box 6520 Visalia, CA 93290-6520		501(c)(3) Public Charity	General Operating	150,000.
Self-Help Enterprises P. O. Box 6520 Visalia, CA 93290-6520		501(c)(3) Public Charity	General Operating	150,000.
Social and Environmental Entrepreneurs Inc. 23532 Calabasas Road, Suite A Calabasas, CA 91302		501(c)(3) Public Charity	Market Intelligence	25,000.
Social and Environmental Entrepreneurs Inc. 23532 Calabasas Road, Suite A Calabasas, CA 91302		501(c)(3) Public Charity	Technical Assistance	125,000.
SOMA Justice Inc PO Box 691 Maplewood, NJ 07040		501(c)(3) Public Charity	General Operating	1,000.
South Orange/Maplewood Community Coalition on Race 516 Prospect St Maplewood, NJ 07040		501(c)(3) Public Charity	General Operating	2,000.
<b>Total from continuation sheets</b>				

**Part XV Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Southerners on New Ground PO Box 11250 Atlanta, GA 30310		501(c)(3) Public Charity	General Operating	450.
Springboard To Opportunities 3000 Old Canton Rd., Suite 470 Jackson, MS 39216		501(c)(3) Public Charity	General Operating	45,000.
St Josephs Social Service Center 118 Division St Elizabeth, NJ 07201		501(c)(3) Public Charity	General Operating	5,000.
St. Joseph's Church 1335 N. Main St. Fall River, MA 02720		501(c)(3) Public Charity	General Operating	2,000.
St. Louis University High School 4970 Oakland Avenue St. Louis, MO 63110		501(c)(3) Public Charity	General Operating	2,500.
Strafford Historical Society Inc PO Box 100 Strafford, VT 05072		501(c)(3) Public Charity	General Operating	3,000.
Student Dream 461 Dean St Brooklyn, NY 11217		501(c)(3) Public Charity	General Operating	3,000.
Support Organization for Kids in Need 11 Monica Way Monmouth Junction, NJ 08852		501(c)(3) Public Charity	General Operating	5,000.
The Bowery Mission PO Box 2000 New York, NY 10156		501(c)(3) Public Charity	General Operating	25.
The Genesis Fund 22 Lincoln Street Brunswick, ME 04011		501(c)(3) Public Charity	General Operating	100,000.
<b>Total from continuation sheets</b>				



**Part XV Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
The Gooden Center 191 N El Molino Ave Pasadena, CA 91101		501(c)(3) Public Charity	General Operating	1,000.
The Housing Partnership Network 1 Washington Mall, 12th Floor Boston, MA 02108		501(c)(3) Public Charity	Technical Assistance	100,000.
The Lincoln Institute of Land Policy 113 Brattle Street Cambridge, MA 02138-3400		501(c)(3) Private Operating Fo	Market Intelligence	150,000.
The Working World, Inc. 116 Nassau Street #513 New York, NY 10038		501(c)(3) Public Charity	General Operating	90,000.
Thousand Currents 1330 Broadway, Suite 301 Oakland, CA 94612		501(c)(3) Public Charity	Market Intelligence	50,000.
Thousand Currents 1330 Broadway, Suite 301 Oakland, CA 94612		501(c)(3) Public Charity	General Operating	250.
TreeHouse Inc 5757 Wayzata Blvd. Minneapolis, MN 55416		501(c)(3) Public Charity	General Operating	2,000.
Twin Cities Habitat for Humanity, Inc 1954 University Avenue W St. Paul, MN 55104		501(c)(3) Public Charity	General Operating	1,000.
University of Chicago 5235 S. Harper Court Chicago, IL 60615		501(c)(3) Public Charity	General Operating	500.
Upper Peninsula Firefighters Memorial Museum PO Box 503 Calumet, MI 49931		501(c)(3) Public Charity	General Operating	100.
<b>Total from continuation sheets</b>				

**Part XV** Supplementary Information

**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Urban Ventures Leadership Foundation 2924 Fourth Avenue South Minneapolis, MN 55408-2438		501(c)(3) Public Charity	General Operating	2,000.
Vermont Council on Rural Development, Inc. 43 State Street, PO Box 1384 Montpelier, VT 05601-1384		501(c)(3) Public Charity	General Operating	25,600.
Village Center for the Arts Inc 12 Main St New Milford, CT 06776		501(c)(3) Public Charity	General Operating	2,000.
Water Witch Hose Company #2 8 Prospect Hill Road New Milford, CT 06776		501(c)(3) Public Charity	General Operating	1,000.
Williams College 75 Park Street Williamstown, MA 01267		501(c)(3) Public Charity	General Operating	2,000.
Williams College 75 Park Street Williamstown, MA 01267		501(c)(3) Public Charity	General Operating	2,000.
World Foundation for Girl Guides and Girl Scouts 420 Fifth Avenue NY, NY 10018		501(c)(3) Public Charity	General Operating	1,000.
World Vision, Inc. PO Box 9716 Federal Way, WA 98063		501(c)(3) Public Charity	General Operating	2,000.
Yale-China Association, Inc. Box 6023 Hamden, CT 06517		501(c)(3) Public Charity	General Operating	500.
Young Life P.O. Box 520 Colorado Springs, CO 80901		501(c)(3) Public Charity	General Operating	2,000.
<b>Total from continuation sheets</b>				

**Part XV** Supplementary Information

**3 Grants and Contributions Approved for Future Payment (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Metro IAF, Inc. 89-60 164th Street Jamaica, NY 11432		501(c)(3) Public Charity	General Operating	55,000.
Fresno Economic Opportunities Commission 1920 Mariposa Street, Suite 300 Fresno, CA 93721		501(c)(3) Public Charity	Market Intelligence	100,000.
Gulf of Maine Research Institute 350 Commercial St. Portland, ME 04101		501(c)(3) Public Charity	General Operating	120,000.
Common Future 2323 Broadway Oakland, CA 94612		501(c)(3) Public Charity	General Operating	150,000.
Jackson Medical Mall Foundation 350 W. Woodrow Wilson Ave. Jackson, MS 39213		501(c)(3) Public Charity	Market Intelligence	50,000.
Royal Society of Arts (RSA) US 2207 Forest Hills Drive Harrisburg, PA 17112		501(c)(3) Public Charity	Technical Assistance	100,000.
<b>Total from continuation sheets</b>				<b>575,000.</b>

# Underpayment of Estimated Tax by Corporations

▶ Attach to the corporation's tax return. Form 990-PF

**2020**

▶ Go to [www.irs.gov/Form2220](http://www.irs.gov/Form2220) for instructions and the latest information.

Name **THE F.B. HERON FOUNDATION** Employer identification number **13-3647019**

**Note:** Generally, the corporation is not required to file Form 2220 (see Part II below for exceptions) because the IRS will figure any penalty owed and bill the corporation. However, the corporation may still use Form 2220 to figure the penalty. If so, enter the amount from page 2, line 38, on the estimated tax penalty line of the corporation's income tax return, but **do not** attach Form 2220.

**Part I Required Annual Payment**

1	Total tax (see instructions) .....	1	626,511.
2a	Personal holding company tax (Schedule PH (Form 1120), line 26) included on line 1 .....	2a	
2b	Look-back interest included on line 1 under section 460(b)(2) for completed long-term contracts or section 167(g) for depreciation under the income forecast method .....	2b	
2c	Credit for federal tax paid on fuels (see instructions) .....	2c	
2d	<b>Total.</b> Add lines 2a through 2c .....	2d	
3	Subtract line 2d from line 1. If the result is less than \$500, <b>do not</b> complete or file this form. The corporation does not owe the penalty .....	3	626,511.
4	Enter the tax shown on the corporation's 2019 income tax return. See instructions. <b>Caution:</b> If the tax is zero or the tax year was for less than 12 months, skip this line and enter the amount from line 3 on line 5 .....	4	105,845.
5	<b>Required annual payment.</b> Enter the <b>smaller</b> of line 3 or line 4. If the corporation is required to skip line 4, enter the amount from line 3 .....	5	105,845.

**Part II Reasons for Filing** - Check the boxes below that apply. If any boxes are checked, the corporation **must** file Form 2220 even if it does not owe a penalty. See instructions.

- 6  The corporation is using the adjusted seasonal installment method.
- 7  The corporation is using the annualized income installment method.
- 8  The corporation is a "large corporation" figuring its first required installment based on the prior year's tax.

**Part III Figuring the Underpayment**

	(a)	(b)	(c)	(d)	
9 <b>Installment due dates.</b> Enter in columns (a) through (d) the 15th day of the 4th (Form 990-PF filers: Use 5th month), 6th, 9th, and 12th months of the corporation's tax year. <b>File with installments due on or after April 1, 2020, and before July 15, 2020, see instructions</b> .....	9	07/15/20	07/15/20	09/15/20	12/15/20
10 <b>Required installments.</b> If the box on line 6 and/or line 7 above is checked, enter the amounts from Sch A, line 38. If the box on line 8 (but not 6 or 7) is checked, see instructions for the amounts to enter. If none of these boxes are checked, enter 25% (0.25) of line 5 above in each column .....	10	26,461.	43,196.	34,828.	34,828.
11 <b>Estimated tax paid or credited for each period.</b> For column (a) only, enter the amount from line 11 on line 15. See instructions .....	11	154,466.			
<b>Complete lines 12 through 18 of one column before going to the next column.</b>					
12 Enter amount, if any, from line 18 of the preceding column .....	12		128,005.	84,809.	49,981.
13 Add lines 11 and 12 .....	13		128,005.	84,809.	49,981.
14 Add amounts on lines 16 and 17 of the preceding column .....	14				
15 Subtract line 14 from line 13. If zero or less, enter -0- .....	15	154,466.	128,005.	84,809.	49,981.
16 If the amount on line 15 is zero, subtract line 13 from line 14. Otherwise, enter -0- .....	16		0.	0.	
17 <b>Underpayment.</b> If line 15 is less than or equal to line 10, subtract line 15 from line 10. Then go to line 12 of the next column. Otherwise, go to line 18 .....	17				
18 <b>Overpayment.</b> If line 10 is less than line 15, subtract line 10 from line 15. Then go to line 12 of the next column .....	18	128,005.	84,809.	49,981.	

Go to Part IV on page 2 to figure the penalty. Do not go to Part IV if there are no entries on line 17 - no penalty is owed.

**Part IV Figuring the Penalty**

	(a)	(b)	(c)	(d)
<b>19</b> Enter the date of payment or the 15th day of the 4th month after the close of the tax year, whichever is earlier. <b>(C corporations with tax years ending June 30 and S corporations:</b> Use 3rd month instead of 4th month. <b>Form 990-PF and Form 990-T filers:</b> Use 5th month instead of 4th month.) See instructions .....	<b>19</b>			
<b>20</b> Number of days from due date of installment on line 9 to the date shown on line 19 .....	<b>20</b>			
<b>21</b> Number of days on line 20 after 4/15/2020 and before 7/1/2020 .....	<b>21</b>			
<b>22</b> Underpayment on line 17 x $\frac{\text{Number of days on line 21} \times 5\% (0.05)}{366}$ .....	<b>22</b> \$	\$	\$	\$
<b>23</b> Number of days on line 20 after 6/30/2020 and before 10/1/2020 .....	<b>23</b>			
<b>24</b> Underpayment on line 17 x $\frac{\text{Number of days on line 23} \times 3\% (0.03)}{366}$ .....	<b>24</b> \$	\$	\$	\$
<b>25</b> Number of days on line 20 after 9/30/2020 and before 1/1/2021 .....	<b>25</b>			
<b>26</b> Underpayment on line 17 x $\frac{\text{Number of days on line 25} \times 3\% (0.03)}{366}$ .....	<b>26</b> \$	\$	\$	\$
<b>27</b> Number of days on line 20 after 12/31/2020 and before 4/1/2021 .....	<b>27</b>			
<b>28</b> Underpayment on line 17 x $\frac{\text{Number of days on line 27} \times 3\% (0.03)}{365}$ .....	<b>28</b> \$	\$	\$	\$
<b>29</b> Number of days on line 20 after 3/31/2021 and before 7/1/2021 .....	<b>29</b>			
<b>30</b> Underpayment on line 17 x $\frac{\text{Number of days on line 29} \times \%}{365}$ .....	<b>30</b> \$	\$	\$	\$
<b>31</b> Number of days on line 20 after 6/30/2021 and before 10/1/2021 .....	<b>31</b>			
<b>32</b> Underpayment on line 17 x $\frac{\text{Number of days on line 31} \times \%}{365}$ .....	<b>32</b> \$	\$	\$	\$
<b>33</b> Number of days on line 20 after 9/30/2021 and before 1/1/2022 .....	<b>33</b>			
<b>34</b> Underpayment on line 17 x $\frac{\text{Number of days on line 33} \times \%}{365}$ .....	<b>34</b> \$	\$	\$	\$
<b>35</b> Number of days on line 20 after 12/31/2021 and before 3/16/2022 .....	<b>35</b>			
<b>36</b> Underpayment on line 17 x $\frac{\text{Number of days on line 35} \times \%}{365}$ .....	<b>36</b> \$	\$	\$	\$
<b>37</b> Add lines 22, 24, 26, 28, 30, 32, 34, and 36 .....	<b>37</b> \$	\$	\$	\$
<b>38 Penalty.</b> Add columns (a) through (d) of line 37. Enter the total here and on Form 1120, line 34; or the comparable line for other income tax returns .....	<b>38</b>			\$ 0.

\* Use the penalty interest rate for each calendar quarter, which the IRS will determine during the first month in the preceding quarter. These rates are published quarterly in an IRS News Release and in a revenue ruling in the Internal Revenue Bulletin. To obtain this information on the Internet, access the IRS website at [www.irs.gov](http://www.irs.gov). You can also call 1-800-829-4933 to get interest rate information.

Schedule A Adjusted Seasonal Installment Method and Annualized Income Installment Method

See instructions.

Form 1120-S filers: For lines 1, 2, 3, and 21, "taxable income" refers to excess net passive income or the amount on which tax is imposed under section 1374(a), whichever applies.

Part I Adjusted Seasonal Installment Method

Caution: Use this method only if the base period percentage for any 6 consecutive months is at least 70%. See instructions.

Table with 5 columns: (a) First 3 months, (b) First 5 months, (c) First 8 months, (d) First 11 months. Rows include taxable income for various periods (1a-1c), calculations for 2020 (2), and subsequent calculations (3a-3c, 4-6, 7-9c, 10, 11a-11c, 12-13, 14-16, 17-18, 19).

**Part II Annualized Income Installment Method**

		(a)	(b)	(c)	(d)
		First <u>2</u> months	First <u>3</u> months	First <u>6</u> months	First <u>9</u> months
20	Annualization periods (see instructions)				
21	Enter taxable income for each annualization period. See instructions for the treatment of extraordinary items	1,670,422.	2,505,633.	5,011,266.	7,516,899.
22	Annualization amounts (see instructions)	6.000000	4.000000	2.000000	1.333330
23a	Annualized taxable income. Multiply line 21 by line 22	10,022,532.	10,022,532.	10,022,532.	10,022,507.
23b	Extraordinary items (see instructions)				
23c	Add lines 23a and 23b	10,022,532.	10,022,532.	10,022,532.	10,022,507.
24	Figure the tax on the amount on line 23c using the instructions for Form 1120, Schedule J, line 2, or comparable line of corporation's return	139,313.	139,313.	139,313.	139,313.
25	Enter any alternative minimum tax (trusts only) for each payment period (see instructions)				
26	Enter any other taxes for each payment period. See instr.				
27	Total tax. Add lines 24 through 26	139,313.	139,313.	139,313.	139,313.
28	For each period, enter the same type of credits as allowed on Form 2220, lines 1 and 2c. See instructions				
29	Total tax after credits. Subtract line 28 from line 27. If zero or less, enter -0-	139,313.	139,313.	139,313.	139,313.
30	Applicable percentage	25%	50%	75%	100%
31	Multiply line 29 by line 30	34,828.	69,657.	104,485.	139,313.

**Part III Required Installments**

	1st installment	2nd installment	3rd installment	4th installment
<b>Note:</b> Complete lines 32 through 38 of one column before completing the next column.				
32 If only Part I or Part II is completed, enter the amount in each column from line 19 or line 31. If both parts are completed, enter the <b>smaller</b> of the amounts in each column from line 19 or line 31	34,828.	69,657.	104,485.	139,313.
33 Add the amounts in all preceding columns of line 38. See instructions		26,461.	69,657.	104,485.
34 <b>Adjusted seasonal or annualized income installments.</b> Subtract line 33 from line 32. If zero or less, enter -0-	34,828.	43,196.	34,828.	34,828.
35 Enter 25% (0.25) of line 5 on page 1 of Form 2220 in each column. <b>Note:</b> "Large corporations," see the instructions for line 10 for the amounts to enter	26,461.	286,794.	156,628.	156,628.
36 Subtract line 38 of the preceding column from line 37 of the preceding column			243,598.	365,398.
37 Add lines 35 and 36	26,461.	286,794.	400,226.	522,026.
38 <b>Required installments.</b> Enter the <b>smaller</b> of line 34 or line 37 here and on page 1 of Form 2220, line 10. See instructions	26,461.	43,196.	34,828.	34,828.

Form 2220 (2020)

**\*\* Annualized Income Installment Method Using Standard Option**

Form 990-PF                      Gain or (Loss) from Sale of Assets                      Statement    1

(a) Description of Property			Manner Acquired	Date Acquired	Date Sold
PUBLICLY TRADED SECURITIES					
			Purchased		
(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss	
5,004,566.	0.	0.	0.	5,004,566.	

(a) Description of Property			Manner Acquired	Date Acquired	Date Sold
SJF II					
			Purchased		
(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss	
166,857.	0.	0.	0.	166,857.	

(a) Description of Property			Manner Acquired	Date Acquired	Date Sold
SOUTHERN APPALACHIAN					
			Purchased		
(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss	
0.	400,000.	0.	0.	-400,000.	



(a) Description of Property			Manner Acquired	Date Acquired	Date Sold
CA SMART GROWTH FUND			Purchased		
(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss	
6,821.	0.	0.	0.	6,821.	

(a) Description of Property			Manner Acquired	Date Acquired	Date Sold
CANYON JOHNSON			Purchased		
(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss	
0.	11,007.	0.	0.	-11,007.	

(a) Description of Property			Manner Acquired	Date Acquired	Date Sold
HUNTINGTON CAPITAL II			Purchased		
(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss	
0.	96,273.	0.	0.	-96,273.	

(a) Description of Property			Manner Acquired	Date Acquired	Date Sold
URBAN AMERICA II			Purchased		
(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss	
0.	46,313.	0.	0.	-46,313.	

(a) Description of Property			Manner Acquired	Date Acquired	Date Sold
YUCAIPA			Purchased		
(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss	
82,832.	0.	0.	0.	82,832.	

(a) Description of Property			Manner Acquired	Date Acquired	Date Sold
YUCAIPA II			Purchased		
(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss	
0.	1,250,613.	0.	0.	-1,250,613.	

(a) Description of Property			Manner Acquired	Date Acquired	Date Sold
HUNTINGTON CAPITAL III			Purchased		
(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss	
0.	259,683.	0.	0.	-259,683.	

(a) Description of Property			Manner Acquired	Date Acquired	Date Sold
SJF III			Purchased		
(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss	
447,548.	0.	0.	0.	447,548.	

(a) Description of Property	(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	Manner Acquired	Date Acquired	(f) Gain or Loss
DBL				Purchased		
	0.	190,348.	0.		0.	-190,348.

(a) Description of Property	(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	Manner Acquired	Date Acquired	(f) Gain or Loss
SJF IV				Purchased		
	571,247.	0.	0.		0.	571,247.

(a) Description of Property	(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	Manner Acquired	Date Acquired	(f) Gain or Loss
HUNTINGTON CAPITAL IV				Purchased		
	723,602.	0.	0.		0.	723,602.

(a) Description of Property	(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	Manner Acquired	Date Acquired	(f) Gain or Loss
OWNERSHIP CAPITAL				Purchased		
	1,073,377.	0.	0.		0.	1,073,377.

(a) Description of Property	Manner Acquired		Date Acquired		Date Sold
USCII COMMINGLED FUND	Purchased				
(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss	
35,101,384.	0.	0.	0.	35,101,384.	

(a) Description of Property	Manner Acquired		Date Acquired		Date Sold
CLASS ACTIONS	Purchased				
(b) Gross Sales Price	(c) Cost or Other Basis	(d) Expense of Sale	(e) Deprec.	(f) Gain or Loss	
5,798.	0.	0.	0.	5,798.	

Capital Gains Dividends from Part IV	0.
Total to Form 990-PF, Part I, line 6a	<u>40,929,795.</u>

Form 990-PF	Dividends and Interest from Securities			Statement	2
Source	Gross Amount	Capital Gains Dividends	(a) Revenue Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income
INT AND DIV ON SECURITIES	5,506,090.	0.	5,506,090.	5,506,090.	
PARTNERSHIP	251,386.	0.	251,386.	251,386.	
To Part I, line 4	<u>5,757,476.</u>	<u>0.</u>	<u>5,757,476.</u>	<u>5,757,476.</u>	

Form 990-PF	Other Income		Statement	3
Description	(a) Revenue Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	
CONTRACT FEE	64,601.		0.	
Total to Form 990-PF, Part I, line 11	64,601.		0.	

Form 990-PF	Legal Fees			Statement	4
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes	
LEGAL SERVICES	57,311.	1,568.		55,743.	
To Fm 990-PF, Pg 1, ln 16a	57,311.	1,568.		55,743.	

Form 990-PF	Accounting Fees			Statement	5
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes	
OUTSOURCED CONTROLLER AUDIT	35,400. 38,426.	0. 9,184.		33,313. 10,217.	
To Form 990-PF, Pg 1, ln 16b	73,826.	9,184.		43,530.	

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	
INVESTMENT ADVISORY	445,015.	445,015.		0.	
PORTFOLIO MONITORING	97,600.	82,960.		14,640.	
HUMAN RESOURCES	62,142.	0.		69,642.	
PROFESSIONAL DEVELOPMENT	72,683.	17,371.		55,924.	
DESKTOP AND NETWORK SUPPORT	60,834.	0.		84,624.	

MARKETING	207,850.	0.	204,675.
CONSULTING AND ADVISING	578,948.	162,495.	394,196.
RECRUITING	170,685.	0.	171,489.
To Form 990-PF, Pg 1, ln 16c	1,695,757.	707,841.	995,190.

Form 990-PF	Taxes			Statement	7
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes	
EXCISE	610,000.	0.		0.	
To Form 990-PF, Pg 1, ln 18	610,000.	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	91,301.	91,301.		0.	
EQUIPMENT AND EQUIPMENT REPAIR	17,357.	4,149.		13,208.	
OFFICE EXPENSES	3,792.	906.		3,258.	
INSURANCE	27,484.	6,569.		21,289.	
BANK FEES	2,218.	0.		2,218.	
MARKET DATA	248,691.	210,953.		34,579.	
OTHER	9,701.	2,586.		8,567.	
SOFTWARE	70,171.	0.		49,707.	
To Form 990-PF, Pg 1, ln 23	470,715.	316,464.		132,826.	

Form 990-PF	Other Decreases in Net Assets or Fund Balances	Statement	9
Description		Amount	
CHANGE IN UNREALIZED APPRECIATION, NET OF DEFERRED TAX		2,392,317.	
Total to Form 990-PF, Part III, line 5		2,392,317.	

---



---

Form 990-PF U.S. and State/City Government Obligations Statement 10

---

Description	U.S. Gov't	Other Gov't	Book Value	Fair Market Value
US GOVERNMENT	X		31,755,620.	31,755,620.
MUNICIPALS		X	47,671,275.	47,671,275.
Total U.S. Government Obligations			31,755,620.	31,755,620.
Total State and Municipal Government Obligations			47,671,275.	47,671,275.
Total to Form 990-PF, Part II, line 10a			79,426,895.	79,426,895.

---



---

Form 990-PF Corporate Stock Statement 11

---

Description	Book Value	Fair Market Value
STOCK INVESTMENTS	199,734,445.	199,734,445.
COMMUNITY INDEX COMMINGLED FUND	12,982,053.	12,982,053.
Total to Form 990-PF, Part II, line 10b	212,716,498.	212,716,498.

---



---

Form 990-PF Corporate Bonds Statement 12

---

Description	Book Value	Fair Market Value
CORPORATE ISSUES	4,260,457.	4,260,457.
Total to Form 990-PF, Part II, line 10c	4,260,457.	4,260,457.

---



---

Form 990-PF Other Investments Statement 13

---

Description	Valuation Method	Book Value	Fair Market Value
MISSION RELATED LIMITED PARTNERSHIPS	FMV	16,931,636.	16,931,636.
ISHARES MSCI	FMV	26,988,280.	26,988,280.
Total to Form 990-PF, Part II, line 13		43,919,916.	43,919,916.

Form 990-PF	Other Assets		Statement 14
Description	Beginning of Yr Book Value	End of Year Book Value	Fair Market Value
PROGRAM RELATED INVESTMENTS	12,146,689.	13,585,326.	13,585,326.
To Form 990-PF, Part II, line 15	12,146,689.	13,585,326.	13,585,326.

Form 990-PF	Other Liabilities		Statement 15
Description	BOY Amount	EOY Amount	
DEFERRED FEDERAL EXCISE TAX	1,110,629.	1,071,268.	
Total to Form 990-PF, Part II, line 22	1,110,629.	1,071,268.	

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
ANNE WADE C/O F.B. HERON FOUNDATION NEW MILFORD, CT 06776	DIRECTOR 3.00	0.	0.	0.
DANA K. BEZERRA C/O F.B. HERON FOUNDATION NEW MILFORD, CT 06776	PRESIDENT 40.00	357,637.	86,275.	0.
NHADINE LEUNG C/O F.B. HERON FOUNDATION NEW MILFORD, CT 06776	VICE PRESIDENT/TREASURER 40.00	253,322.	64,596.	0.
CLARA G MILLER C/O F.B. HERON FOUNDATION NEW MILFORD, CT 06776	PRESIDENT EMERITUS 20.00	236,194.	0.	0.
BUZZ SCHMIDT C/O F.B. HERON FOUNDATION NEW MILFORD, CT 06776	CHAIRMAN 4.00	0.	0.	0.



WILLIAM MC CALPIN  
C/O F.B. HERON FOUNDATION  
NEW MILFORD, CT 06776

DIRECTOR  
3.00

0. 0. 0.

JOHN OTTERLEI  
C/O F.B. HERON FOUNDATION  
NEW MILFORD, CT 06776

DIRECTOR  
3.00

0. 0. 0.

Totals included on 990-PF, Page 6, Part VIII

847,153. 150,871. 0.

COPY

# CHAR500

NYS Annual Filing for Charitable Organizations  
www.CharitiesNYS.com

Send with fee and attachments to:  
NYS Office of the Attorney General  
Charities Bureau Registration Section  
28 Liberty Street  
New York, NY 10005

**2020**  
**Open to Public Inspection**

## 1. General Information

For Fiscal Year Beginning (mm/dd/yyyy) <b>01/01/2020</b> and Ending (mm/dd/yyyy) <b>12/31/2020</b>		
Check if Applicable: <input type="checkbox"/> Address Change <input type="checkbox"/> Name Change <input type="checkbox"/> Initial Filing <input type="checkbox"/> Final Filing <input type="checkbox"/> Amended Filing <input type="checkbox"/> Reg ID Pending	Name of Organization: <b>THE F.B. HERON FOUNDATION</b>	Employer Identification Number (EIN): <b>13-3647019</b>
	Mailing Address: <b>P.O. BOX 996</b>	NY Registration Number: <b>06-44-19</b>
	City / State / ZIP: <b>NEW MILFORD, CT 06776</b>	Telephone: <b>475 250-1020</b>
	Website: <b>WWW.HERON.ORG</b>	Email:

Check your organization's registration category:  7A only  EPTL only  DUAL (7A & EPTL)  EXEMPT\* Confirm your Registration Category in the Charities Registry at [www.CharitiesNYS.com](http://www.CharitiesNYS.com).

## 2. Certification

See instructions for certification requirements. Improper certification is a violation of law that may be subject to penalties. The certification requires two signatories.

*We certify under penalties of perjury that we reviewed this report, including all attachments, and to the best of our knowledge and belief, they are true, correct and complete in accordance with the laws of the State of New York applicable to this report.*

President or Authorized Officer:	_____	<b>DANA K. BEZERRA</b>	_____
	Signature	Print Name and Title	Date
Chief Financial Officer or Treasurer:	_____	<b>NHADINE LEUNG</b>	_____
	Signature	Print Name and Title	Date

## 3. Annual Reporting Exemption

Check the exemption(s) that apply to your filing. If your organization is claiming an exemption under one category (7A or EPTL only filers) or both categories (DUAL filers) that apply to your registration, complete only parts 1, 2, and 3, and submit the certified Char500. No fee, schedules, or additional attachments are required. If you cannot claim an exemption or are a DUAL filer that claims only one exemption, you must file applicable schedules and attachments and pay applicable fees.

- 3a. 7A filing exemption: Total contributions from NY State including residents, foundations, government agencies, etc. did not exceed \$25,000 and the organization did not engage a professional fund raiser (PFR) or fund raising counsel (FRC) to solicit contributions during the fiscal year.
- 3b. EPTL filing exemption: Gross receipts did not exceed \$25,000 and the market value of assets did not exceed \$25,000 at any time during the fiscal year.

## 4. Schedules and Attachments

See the following page for a checklist of schedules and attachments to complete your filing.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	4a. Did your organization use a professional fund raiser, fund raising counsel or commercial co-venturer for fund raising activity in NY State? If yes, complete Schedule 4a.
	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	4b. Did the organization receive government grants? If yes, complete Schedule 4b.

## 5. Fee

See the checklist on the next page to calculate your fee(s). Indicate fee(s) you are submitting here:	7A filing fee: \$ _____	EPTL filing fee: \$ <u>1,500.</u>	Total fee: \$ <u>1,500.</u>	Make a single check or money order payable to: <b>"Department of Law"</b>
---	----------------------------	--------------------------------------	--------------------------------	--

CHAR500 Annual Filing for Charitable Organizations (Updated January 2021)

\*The "Exempt" category refers to an organization's NYS registration status. It does not refer to its IRS tax designation.

# CHAR500

## Annual Filing Checklist

- Simply submit the certified CHAR500 with no fee, schedule, or additional attachments IF:
- Your organization is registered as 7A only and you marked the 7A filing exemption in Part 3.
  - Your organization is registered as EPTL only and you marked the EPTL filing exemption in Part 3.
  - Your organization is registered as DUAL and you marked both the 7A and EPTL filing exemption in Part 3.

### Checklist of Schedules and Attachments

Check the schedules you must submit with your CHAR500 as described in Part 4:

- If you answered "yes" in Part 4a, submit Schedule 4a: Professional Fund Raisers (PFR), Fund Raising Counsel (FRC), Commercial Co-Venturers (CCV)
- If you answered "yes" in Part 4b, submit Schedule 4b: Government Grants

Check the financial attachments you must submit with your CHAR500:

- IRS Form 990, 990-EZ, or 990-PF, and 990-T if applicable
- All additional IRS Form 990 Schedules, including Schedule B (Schedule of Contributors). Schedule B of public charities is exempt from disclosure and will not be available for public review.
- Our organization was eligible for and filed an IRS 990-N e-postcard. Our revenue exceeded \$25,000 and/or our assets exceeded \$25,000 in the filing year. We have included an IRS Form 990-EZ for state purposes only.

If you are a 7A only or DUAL filer, submit the applicable independent Certified Public Accountant's Review or Audit Report:

- Review Report if you received total revenue and support greater than \$250,000 and up to \$750,000.
- Audit Report if you received total revenue and support greater than \$750,000
- No Review Report or Audit Report is required because total revenue and support is less than \$250,000
- We are a DUAL filer and checked box 3a, no Review Report or Audit Report is required

### Calculate Your Fee

For 7A and DUAL filers, calculate the 7A fee:

- \$0, if you checked the 7A exemption in Part 3a
- \$25, if you did not check the 7A exemption in Part 3a

For EPTL and DUAL filers, calculate the EPTL fee:

- \$0, if you checked the EPTL exemption in Part 3b
- \$25, if the NET WORTH is less than \$50,000
- \$50, if the NET WORTH is \$50,000 or more but less than \$250,000
- \$100, if the NET WORTH is \$250,000 or more but less than \$1,000,000
- \$250, if the NET WORTH is \$1,000,000 or more but less than \$10,000,000
- \$750, if the NET WORTH is \$10,000,000 or more but less than \$50,000,000
- \$1500, if the NET WORTH is \$50,000,000 or more

### Is my Registration Category 7A, EPTL, DUAL or EXEMPT?

Organizations are assigned a Registration Category upon registration with the NY Charities Bureau:

**7A** filers are registered to solicit contributions in New York under Article 7-A of the Executive Law ("7A")

**EPTL** filers are registered under the Estates, Powers & Trusts Law ("EPTL") because they hold assets and/or conduct activities for charitable purposes in NY.

**DUAL** filers are registered under both 7A and EPTL.

**EXEMPT** filers have registered with the NY Charities Bureau and meet conditions in **Schedule E - Registration Exemption for Charitable Organizations**. These organizations are not required to file annual financial reports but may do so voluntarily.

Confirm your Registration Category and learn more about NY law at [www.CharitiesNYS.com](http://www.CharitiesNYS.com).

### Where do I find my organization's NET WORTH?

NET WORTH for fee purposes is calculated on:

- IRS Form 990 Part I, line 22
- IRS Form 990 EZ Part I, line 21
- IRS Form 990 PF, calculate the difference between Total Assets at Fair Market Value (Part II, line 16(c)) and Total Liabilities (Part II, line 23(b)).

### Send Your Filing

Send your CHAR500, all schedules and attachments, and total fee to:

NYS Office of the Attorney General  
Charities Bureau Registration Section  
28 Liberty Street  
New York, NY 10005

### Need Assistance?

Visit: [www.CharitiesNYS.com](http://www.CharitiesNYS.com)  
Call: (212) 416-8401  
Email: [Charities.Bureau@ag.ny.gov](mailto:Charities.Bureau@ag.ny.gov)