

For calendar year 2021, or tax year beginning 04-01-2021, and ending 03-31-2022

Name of foundation The Dobkin Family Foundation		A Employer identification number 13-3248042	
% THE DOBKIN FAMILY FOUNDATION			
Number and street (or P.O. box number if mail is not delivered to street address) 160 Old Church Ln	Room/suite	B Telephone number (see instructions) (212) 773-3000	
City or town, state or province, country, and ZIP or foreign postal code Pound Ridge, NY 10576		C If exemption application is pending, check here ☐	
G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change		D 1. Foreign organizations, check here..... ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ... ☐	
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶\$ <u>39,020,606</u>		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	
J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis.)			

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)	454,630			
	2 Check ☐ if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	1,783	1,783		
	4 Dividends and interest from securities	243,479	243,479		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	4,221,888			
	b Gross sales price for all assets on line 6a <u>5,917,189</u>				
	7 Capital gain net income (from Part IV, line 2)		4,175,336		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances _____				
Operating and Administrative Expenses	b Less: Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	14,041	-94,494		
	12 Total. Add lines 1 through 11	4,935,821	4,326,104		
	13 Compensation of officers, directors, trustees, etc.	65,000	16,250		48,750
	14 Other employee salaries and wages	65,529	16,382		49,147
	15 Pension plans, employee benefits	112,966	28,242		84,725
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	30,000	15,000	0	15,000
	c Other professional fees (attach schedule)	180,000			180,000
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	100,912	60,912		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings	2,609	652		1,957
	22 Printing and publications				
	23 Other expenses (attach schedule)	15,186	1,236		13,176
	24 Total operating and administrative expenses. Add lines 13 through 23	572,202	138,674	0	392,755
	25 Contributions, gifts, grants paid	3,581,226			3,581,226
	26 Total expenses and disbursements. Add lines 24 and 25	4,153,428	138,674	0	3,973,981
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	782,393			
	b Net investment income (if negative, enter -0-)		4,187,430		
	c Adjusted net income (if negative, enter -0-)				

Part II		Balance Sheets	Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)	Beginning of year	End of year	
				(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing		947,838	2,248,024	2,248,024
	2	Savings and temporary cash investments		1,860,602	2,084,635	2,084,635
	3	Accounts receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____				
	4	Pledges receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less: allowance for doubtful accounts ▶ _____				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10a	Investments—U.S. and state government obligations (attach schedule)				
	b	Investments—corporate stock (attach schedule)		186,185	42,482	510,322
	c	Investments—corporate bonds (attach schedule)				
	11	Investments—land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____				
	12	Investments—mortgage loans				
	13	Investments—other (attach schedule)		15,547,258	14,949,135	34,117,815
	14	Land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____				
15	Other assets (describe ▶ _____)		59,810	59,810	59,810	
16	Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)		18,601,693	19,384,086	39,020,606	
Liabilities	17	Accounts payable and accrued expenses		960	960	
	18	Grants payable				
	19	Deferred revenue.				
	20	Loans from officers, directors, trustees, and other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe ▶ _____)				
	23	Total liabilities (add lines 17 through 22).		960	960	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here ▶ ☐ and complete lines 24, 25, 29 and 30.					
	24	Net assets without donor restrictions				
	25	Net assets with donor restrictions				
	Foundations that do not follow FASB ASC 958, check here ▶ ☒ and complete lines 26 through 30.					
	26	Capital stock, trust principal, or current funds		18,600,733	19,383,126	
	27	Paid-in or capital surplus, or land, bldg., and equipment fund				
	28	Retained earnings, accumulated income, endowment, or other funds				
	29	Total net assets or fund balances (see instructions)		18,600,733	19,383,126	
	30	Total liabilities and net assets/fund balances (see instructions) .		18,601,693	19,384,086	

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	18,600,733
2	Enter amount from Part I, line 27a	2	782,393
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	19,383,126
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29.	6	19,383,126

Part IV

Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1 a CAPITAL GAIN THRU K-1S	P		
b SEC 1231 GAIN THRU K1S	P		
c LOSS ON DISP - CCMP CAP INV III AV-6	P		
d LOSS ON DISP - LS POWER EQ PTRS II PIE B	P		
e LOSS ON DISP - CROSSLINK VENTURES V	P		
LOSS ON DISP - CATAMOUNT VENTURES II	P		
GAIN ON EXCHANGE OF FAIRFAX	P		
SALE OF MARKETABLE SECURITIES	P		
GAIN THRU EXCESS DISTRIBUTION FROM K-1S			
SEC 1256 GAINS THRU K-1S	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 3,967,514			3,967,514
b		14,036	-14,036
c		6,339	-6,339
d		561,052	-561,052
e		1,294	-1,294
		669	-669
237,341			237,341
1,373,787		1,158,463	215,324
213,193			213,193
125,354			125,354

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			3,967,514
b			-14,036
c			-6,339
d			-561,052
e			-1,294
			-669
			237,341
			215,324
			213,193
			125,354

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	4,175,336
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	

Part V

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

Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter

Bracket for line 1a

"N/A" on line 1.

1a

Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions)

All other domestic foundations enter 1.39% (0.0139) of line 27b. Exempt foreign organizations enter 4% (0.04) of Part I, line 12, col. (b)

b

Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)

2

Add lines 1 and 2.

3

58,205

Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)

4

Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-

5

58,205

Credits/Payments:

6

a 2021 estimated tax payments and 2020 overpayment credited to 2021

6a

25,755

b Exempt foreign organizations—tax withheld at source

6b

0

c Tax paid with application for extension of time to file (Form 8868)

6c

90,000

d Backup withholding erroneously withheld

6d

7

Total credits and payments. Add lines 6a through 6d

7

115,755

8

Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached.

8

372

9

Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed

9

10

Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid.

10

57,178

11

Enter the amount of line 10 to be: Credited to 2022 estimated tax Refunded

11

57,178

Part VI-A

Statements Regarding Activities

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?

1a

Yes

No

b

Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition.

1b

No

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.

c

Did the foundation file Form 1120-POL for this year?.

1c

No

d

Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year:

(1) On the foundation. \$ (2) On foundation managers. \$

e

Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$

2

Has the foundation engaged in any activities that have not previously been reported to the IRS?

2

No

If "Yes," attach a detailed description of the activities.

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.

3

No

4a

Did the foundation have unrelated business gross income of \$1,000 or more during the year?

4a

Yes

b

If "Yes," has it filed a tax return on Form 990-T for this year?.

4b

Yes

5

Was there a liquidation, termination, dissolution, or substantial contraction during the year?

5

No

If "Yes," attach the statement required by General Instruction T.

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?.

6

Yes

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 XIV.

7

Yes

8a

Enter the states to which the foundation reports or with which it is registered (see instructions)

NY

b

If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation .

8b

Yes

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 2021 or the taxable year beginning in 2021? See the instructions for Part XIII. If "Yes," complete Part XIII

9

No

10

Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses.

10

No

Part VI-A

Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions.	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶N/A	13	Yes	
14	The books are in care of ▶THE DOBKIN FAMILY FOUNDATION Telephone no. ▶(212) 773-3000 Located at ▶160 OLD CHURCH LN POUND RIDGE NY ZIP+4 ▶10576			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —check here ▶ and enter the amount of tax-exempt interest received or accrued during the year	15		
16	At any time during calendar year 2021, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign	16	Yes	No

Part VI-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	1a(1)		No
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	1a(2)		No
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	1a(3)		No
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	1a(4)		No
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	1a(5)		No
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	1a(6)		No
b	If any answer is "Yes" to 1a(1)–(6); did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions	1b		
c	Organizations relying on a current notice regarding disaster assistance check here. ▶			
d	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 2021?	1d		No
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 2021, did the foundation have any undistributed income (lines 6d and 6e, Part XII) for tax year(s) beginning before 2021? If "Yes," list the years ▶ 20____, 20____, 20____, 20____	2a		No
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.)	2b		No
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	3a	Yes	
b	If "Yes," did it have excess business holdings in 2021 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period?(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2021.)	3b		No
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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 2021?	4b		No

Part VI-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))?

5a(1)

No

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

5a(2)

No

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

5a(3)

No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions

5a(4)

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?

5a(5)

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

5b

c

Organizations relying on a current notice regarding disaster assistance check here

d

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?

5d

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?

6a

No

b

Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

6b

No

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

7a

At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

7a

No

b

If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction?

7b

No

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 during the year?

8

No

Part VII

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

1

List all officers, directors, trustees, foundation managers and their compensation. See instructions

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ERIC S DOBKIN	TRUSTEE	0	0	0
C/O DOBKIN FAMILY OFFICE 51 LOCUST AVE SUITE 201 NEW CANAAN, CT 06840	1.0			
BARBARA DOBKIN	TRUSTEE	0	0	0
C/O DOBKIN FAMILY OFFICE 51 LOCUST AVE SUITE 201 NEW CANAAN, CT 06840	1.0			
RACHEL L DOBKIN	TRUSTEE/GRANTS ANALYST	65,000	16,250	0
160 Old Church Ln NEW CANAAN, CT 06840	1.0			

2

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

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

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

Part VII

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

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation

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

Part VIII- 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	
2	
3	
4	

Part VIII- Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1 N/A	
2 N/A	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3 ▶	

Part IX 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	42,527
b	Average of monthly cash balances.	1b	3,219,728
c	Fair market value of all other assets (see instructions).	1c	36,954,205
d	Total (add lines 1a, b, and c).	1d	40,216,460
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	0
3	Subtract line 2 from line 1d.	3	40,216,460
4	Cash deemed held for charitable activities. Enter 1.5% (0.015) of line 3 (for greater amount, see instructions).	4	603,247
5	Net value of noncharitable-use assets. Subtract line 4 from line 3.	5	39,613,213
6	Minimum investment return. Enter 5% (0.05) of line 5.	6	1,980,661

Part X 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 IX, line 6.	1	1,980,661
2a	Tax on investment income for 2021 from Part V, line 5.	2a	58,205
b	Income tax for 2021. (This does not include the tax from Part V.).	2b	
c	Add lines 2a and 2b.	2c	58,205
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	1,922,456
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	1,922,456
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XII, line 1.	7	1,922,456

Part XI 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	
b	Program-related investments—total from Part VIII-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part XII, line 4.	4	

Part XII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2020	(c) 2020	(d) 2021
1 Distributable amount for 2021 from Part X, line 7				1,922,456
2 Undistributed income, if any, as of the end of 2021:				
a Enter amount for 2020 only.			0	
b Total for prior years: 2019, 2018, 2017		0		
3 Excess distributions carryover, if any, to 2021:				
a From 2016.	4,798,185			
b From 2017.	5,270,950			
c From 2018.				
d From 2019.	2,447,249			
e From 2020.	2,077,692			
f Total of lines 3a through e.	14,594,076			
4 Qualifying distributions for 2021 from Part XI, line 4:  \$ 3,973,981				
a Applied to 2020, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2021 distributable amount				1,922,456
e Remaining amount distributed out of corpus	2,051,525			
5 Excess distributions carryover applied to 2021. (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	16,645,601			
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				
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 instructions.			0	
f Undistributed income for 2021. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2022				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions).				
8 Excess distributions carryover from 2016 not applied on line 5 or line 7 (see instructions)	4,798,185			
9 Excess distributions carryover to 2022. Subtract lines 7 and 8 from line 6a	11,847,416			
10 Analysis of line 9:				
a Excess from 2017	5,270,950			
b Excess from 2018				
c Excess from 2019.	2,447,249			
d Excess from 2020	2,077,692			
e Excess from 2021	2,051,525			

Part XIII

Private Operating Foundations (see instructions and Part VI-A, question 9)

1a

If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2021, enter the date of the ruling

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

2a	Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Tax year	Prior 3 years			(e) Total
		(a) 2021	(b) 2020	(c) 2019	(d) 2018	
b	85% (0.85) of line 2a					
c	Qualifying distributions from Part XI, line 4 for each year listed					
d	Amounts included in line 2c not used directly for active conduct of exempt activities					
e	Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3	Complete 3a, b, or c for the alternative test relied upon:					
a	"Assets" alternative test—enter:					
(1)	Value of all assets					
(2)	Value of assets qualifying under section 4942(j)(3)(B)(i)					
b	"Endowment" alternative test— enter 2/3 of minimum investment return shown in Part IX, line 6 for each year listed					
c	"Support" alternative test—enter:					
(1)	Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2)	Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).					
(3)	Largest amount of support from an exempt organization					
(4)	Gross investment income					

Part

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).)

ERIC S DOBKIN CO DOBKIN FAMILY O

160 OLD CHURCH LN POUND RIDGE NY

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. See instructions

a

The name, address, and telephone number or email address of the person to whom applications should be addressed:

b

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

c

Any submission deadlines:

d

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

Part

Supplementary Information (continued)

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

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)				
a Paid during the year SEE SCHEDULE ATTACHED SEE SCHEDULE ATTACHED SEE SCHEDULE ATTACHED,NY 10001	N/A	P C	SEE SCHEDULE ATTACHED	3,581,226
Total ▶ 3a				3,581,226

b Approved for future payment				
Total ▶ 3b				

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions.)
		(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue:						
a _____						
b _____						
c _____						
d _____						
e _____						
f _____						
g Fees and contracts from government agencies						
2 Membership dues and assessments						
3 Interest on savings and temporary cash investments				14	1,783	
4 Dividends and interest from securities						
5 Net rental income or (loss) from real estate:						
a Debt-financed property.						
b Not debt-financed property.						
6 Net rental income or (loss) from personal property						
7 Other investment income						
8 Gain or (loss) from sales of assets other than inventory		901101	46,552	18	4,175,336	
9 Net income or (loss) from special events:						
10 Gross profit or (loss) from sales of inventory						
11 Other revenue:						
a PASSTHROUGH INCOME				01	-106,897	
b PASSTHROUGH INCOME - UBTI		901101	120,923			
c TAX EXEMPT INCOME THRU K-1						15
d _____						
e _____						
12 Subtotal. Add columns (b), (d), and (e) . . .			167,475		4,313,701	15
13 Total. Add line 12, columns (b), (d), and (e). (See worksheet in line 13 instructions to verify calculations.)				13	4,481,191	15

[illegible]

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

1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

a Transfers from the reporting foundation to a noncharitable exempt organization of:

(1) Cash.

(2) Other assets.

b Other transactions:

(1) Sales of assets to a noncharitable exempt organization.

(2) Purchases of assets from a noncharitable exempt organization

(3)* Rental of facilities, equipment, or other assets.

(4) Reimbursement arrangements.

(5) Loans or loan guarantees. . . .

(6) Performance of services or membership or fundraising solicitations.

c Sharing of facilities, equipment, mailing lists, other assets, or paid employees.

d If the answer to any of the above is "Yes," complete the following schedule. Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received.

[illegible]

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

b If "Yes," complete the following schedule.

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

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.

	2023-02-15
Signature of officer or trustee	Date

Title

May the IRS discuss this return with the preparer shown below?
See instructions. ☒ Yes ☐ No

**Paid
Preparer
Use Only**

Paid Preparer Use Only	Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ☐	PTIN
	Rossella Loccisano-Lo Franco		2023-02-15		P01659040
	Firm's name ▶ ERNST & YOUNG US LLP				Firm's EIN ▶
	Firm's address ▶ ONE MANHATTAN WEST NEW YORK, NY 100018604				Phone no. (212) 773-3000

Additional Data

Return to Form

Software ID:

Software Version:

Form 990PF - Special Condition Description:

Special Condition Description

TY 2021 IRS 990 e-File Render

Name: The Dobkin Family Foundation

EIN: 13-3248042

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EY US LLP	30,000	15,000		15,000

TY 2021 IRS 990 e-File Render

Name: The Dobkin Family Foundation

EIN: 13-3248042

Category	Amount
N/A	

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2021 IRS 990 e-File Render

Name: The Dobkin Family Foundation

EIN: 13-3248042

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
COMPUTER/PRINTER	2002-02-28	11,919	11,919	SL	5				
FURNITURE/OFFICE	2002-02-28	17,046	17,046	SL	5				
WALLPAPER/CARPET	2002-02-28	17,380	17,380	SL	5				
PHONE SYSTEM	2002-02-28	4,057	4,057	SL	5				
INTERIOR	2002-02-28	12,161	12,161	SL	5				
FURNITURE II	2002-02-28	18,654	18,654	SL	5				
WALLPAPER/CARPET	2002-02-28	15,650	15,650	SL	5				
COMPUTER	2006-08-24	3,679	3,679	SL	5				
COMPUTER	2007-01-30	4,010	4,010	SL	5				
LAPTOP COMPUTER	2008-08-25	1,723	1,723	SL	5				
OFFICE SERVER #1	2009-11-02	2,085	2,085	SL	5				
OFFICE SERVER #2	2009-11-05	1,511	1,511	SL	5				
OFFICE SERVER #3	2010-02-15	1,795	1,795	SL	5				
DESKTOP COMPUTER	2010-04-29	903	903	SL	5				
LAPTOP COMPUTER #2	2010-07-21	988	988	SL	5				
OFFICE SERVER #4	2014-11-11	3,464	3,464	SL	5				

TY 2021 IRS 990 e-File Render

Name: The Dobkin Family Foundation

EIN: 13-3248042

Name of Stock	End of Year Book Value	End of Year Fair Market Value
140,000 SHS XIAOMI CORPATION	1,400	249,189
10,146 SHS VENUS MADTECH INC	9,682	20,987
3,000 SHS MEITUAN CMN	3,069	59,603
82 SHS FAIRFAX FINANCIAL	13,136	44,802
HOLDINGS LTD		
8,444 SHS CANSINO BIOLOGICS	15,195	135,741

Name: The Dobkin Family Foundation
EIN: 13-3248042

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
WHITEHALL PARALLEL GLOBAL		53,911	19,503
STERLING AMERICAN PROPERTY IV		175,275	162,553
CATAMOUNT VENTURES II, LP		0	0
IGNITION VENTURE PARTNERS III		140,863	88,605
ATLAS VENTURE ENTREP. FD VI,LP		21,515	1,086,102
RHO VENTURES V, L.P.		627,088	736,789
CARLYLE ASIA PARTNERS II, LP		38,196	6,025
RIVERSTONE ENERGY COINV'T III		39,590	10,370
CROSSLINK VENTURES V, LP		0	0
LS POWER EQUITY PTRS PIE II		0	6,797
CENTRE CAPITAL INVESTORS V LP		623,416	361,806
AMERICAN SECURITIES PTRS V LP		76,940	1,318
RIVERSTONE ENERGY COINVESTMENT			
IV (CAYMAN), LP		6,059	3,618
LS POWER EQTIES PTRS II PIE B		0	0
AMERICAN SECURITIES PTRS VI LP		50,488	601,752
QIMING VENTURE PARTNERS III LP		635,355	1,711,032
LEGACY VENTURES VI LLC		1,266,365	5,982,390
RIVERSTONE RW COINVEST HLDG LP		171,747	67,745
RIVERSTONE ENERGY COINVESTMENT		966,709	1,638,218
V (CAYMAN), LP			
IGNITION VENTURE PTRS V LP		421,237	1,438,924
CCMP CAPITAL INVESTORS III LP		291,432	899,250
CCMP CAP INVESTORS III (AIV-3)		89,054	
CCMP CAP INVESOTRS III (AIV-6)		0	
CCMP CAP INVESTORS III (AIV-7)		55,540	
QIMING VENTURE PARTNERS IV		776,889	2,759,375
CENTRE CAPITAL INVESTORS VI		358,077	887,186
LEGACY VENTURES VII, LLC		804,756	3,480,216
DSS BOUNTY, LLC		374,421	9,517
RIVERSTONE ENERGY COINVESTMENT		570,044	854,197
VI (CAYMAN)LP			
IGNITION VENTURE VI LP		697,451	3,649,156
LEGACY VENTURES VIII LP		1,353,872	3,584,928
AMERICAN SECURITIES PTRS VII		43,360	
CAYMAN AIV LP			
SATTER MEDICAL TECHNOLOGY PTRS		911,741	302,683
CCMP CAP INVESTORS III (AIV-2)		0	
AMERICAN SECURITIES PTRS VII		551,693	1,355,800
ALTERNATIVE INV I(A) LP		96,230	
ROARK CAPITAL INVESTORS V LP		665,547	1,184,298
AMERICAN SECURITIES PTRS VIII		599,355	717,988
LEGACY VENTURES X, LLC		336,900	367,681
CROSSLINK VENTURES V LIQ FUND		118,108	99,555
GS VINTAGE III OFFSHORE HOLD.		88,511	12,638
GS MEZZANINE PARTNERS V, LP		851,400	29,800

TY 2021 IRS 990 e-File Render

Name: The Dobkin Family Foundation

EIN: 13-3248042

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
OFFICE DECOR	49,750	49,750	49,750
ARTWORK	10,060	10,060	10,060

TY 2021 IRS 990 e-File Render

Name: The Dobkin Family Foundation

EIN: 13-3248042

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ADP PAYROLL EXP	4,942	1,236		3,706
CHARITABLE EXPENSES	8,292			8,292
NON DEDUCTIBLE EXP THRU K-1	774			
MEMBERSHIP FEES	95			95
DATABASE/SOFTWARE EXPENSE	1,083			1,083

TY 2021 IRS 990 e-File Render

Name: The Dobkin Family Foundation

EIN: 13-3248042

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
PASSTHROUGH INCOME	-106,897	-106,897	
PASSTHROUGH INCOME - UBTI	120,923		
ADD BACK: C/Y SUSPENDED PASSIVE LOSS		12,403	
TAX EXEMPT INCOME THRU K-1	15		

TY 2021 IRS 990 e-File Render

Name: The Dobkin Family Foundation

EIN: 13-3248042

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
CONSULTING FEES PAID	180,000			180,000

TY 2021 IRS 990 e-File Render

Name: The Dobkin Family Foundation

EIN: 13-3248042

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX PAID	60,912	60,912		
EXCISE TAXES PAID	40,000			