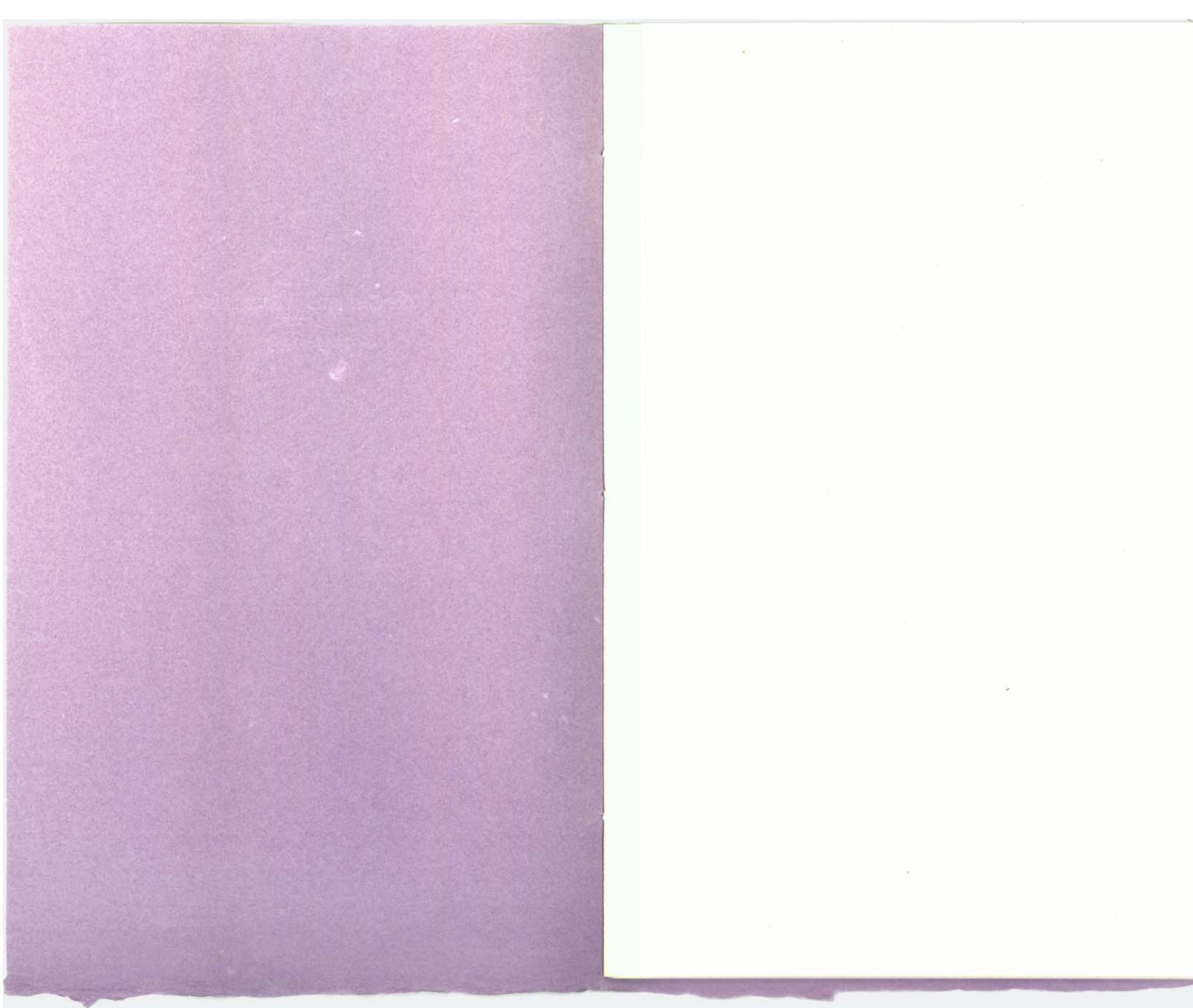


  
*The Greenwall Foundation*  
1949 - 1999



# *The Greenwall Foundation*

A STORY OF A WORK IN PROGRESS

BY ALAN L OTTEN

  
*The Greenwall Foundation*  
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**T**HIS IS A STORY of how a small, modestly-conceived family foundation gradually grew into a nationally-known independent foundation. And how a foundation that ranks well down the list of the largest and wealthiest can nevertheless create significant and useful roles for itself in such vital areas as bioethics, innovative artistic work, and teacher training.

The story begins in New York City in early September 1949 when corporate executive Frank K Greenwall and his wife, Anna Alexander Greenwall, decide to set up a small foundation in memory of their daughter, Susan Alexander Greenwall, who had died of bone cancer in November 1937, just two weeks past her sixteenth birthday. Incorporation papers for The Susan Greenwall Foundation, INC, are filed on September 20, 1949, just a few days after the Greenwalls' decision, and on October 12, the new foundation holds its organizational meeting.

Joining the Greenwalls as founding members were Nancy G Leven, Susan's only sibling, and Elias D Cohen and Alfred A Halden, longtime associates of Frank Greenwall at National Starch Products, INC, the highly successful company he had helped build and headed. Anna Greenwall was named president of the new foundation, with Halden as vice-president, Nancy Leven as secretary-treasurer, and Frank Greenwall as assistant treasurer. The five founding members also elected the first board of directors: Frank and Anna Greenwall and Halden.

The Foundation's goals were mostly general in nature, such as providing scholarships and fellowships "for worthy and qualified students without regard to sex, age, nationality, race, creed or color." One more specific goal, however, was to help conduct medical research and spread knowledge on "the nature, cause, prevention, cure, treatment and alleviation of children's diseases of all kinds, including particularly, but without limitation to, bone cancer."

The Foundation's funding was as unpretentious as its aims: an initial capital of only \$13,500. Frank Greenwall contributed \$2,500 in cash and 100 shares of Class B National Starch common stock, valued at \$4,000. Anna Greenwall contributed \$2,500 in cash and 40 shares of National

Starch Class B second preferred stock, also valued at \$4,000, and Nancy Leven contributed \$500 in cash.

During the following few months, the directors voted \$3,957.45 in contributions to 52 different organizations, practically all traditional charities of the Greenwall and Alexander families. Twenty-one organizations received contributions of \$5 or less; the largest gift was \$500 to the Federation of Jewish Philanthropies of New York, while \$250 went to each of six charities, including the American Red Cross and Goodwill Industries. One anomalous gift, significant only as a coincidental foreshadowing of the Foundation's much later interest in bioethics, was \$10 to the Euthanasia Society. At the end of 1949, gifts and running expenses had reduced the Foundation's assets to \$9,073.75.

Now flash forward 50 years. Thanks largely to multi-million dollar bequests from the estates of Frank and Anna Greenwall and to the stock market surge of the late 1990s, the Foundation – now called simply The Greenwall Foundation – shows net assets of more than \$100 million and ranks 439<sup>TH</sup> in assets among the 1,000 largest grant-making foundations. The Greenwall family is still represented on the 17-member Board of Directors by a grandson and a grand-nephew of Frank and Anna, but most board members now are nationally-known educators, physicians, lawyers and businessmen. The big grants go not to the American Red Cross or the Federation of Jewish Philanthropies but to bioethicists at leading universities across the country, to small New York City arts groups with names like Bang on a Can or 3-Legged Dog, and to imaginative programs to improve the teaching skills of New York City public school teachers of math and science.

And while some of this may sound quite remote from Frank Greenwall's original ideas and goals, today's agenda actually is not all that distant from the broader vision he eventually developed of what the Foundation could and should be. Says grandson Francis Greenwall, an active Foundation board member: "Grandfather might not be completely comfortable with some of the artistic grants, but he certainly would approve of the work we are doing in teaching math and science and in thinking about the treatment of sick and dying old people. And he would be very proud of our Board of Directors."

Agrees grand-nephew Dr Richard L Salzer, JR, another board member: "He would by and large approve of the directions the Foundation is taking. He lived for the present but he saw the future."

### *A Man with Vision*

So before pursuing the evolution of The Greenwall Foundation, we need to look at the dynamic man who, with his wife, created it.

Frank Koehler Greenwald – Koehler was his mother's maiden name, and his father's family name was Greenwald, not the Greenwall that Frank later legally adopted – was born on May 6, 1896 on the upper east side of Manhattan. His moderately well-to-do family may not have ranked with the Schiffs, Kahns and other German-Jewish bankers and businessmen described in Stephen Birmingham's "Our Crowd," but it had much the same values. Father Henry was a successful dry-goods merchant – for many years a "Greenwald Building" stood at the corner of 87<sup>TH</sup> Street and Third Avenue – and Frank's mother and several other relatives had gone to college. Frank, however, chose to quit high school and go to work. The unverifiable story is that he worked in an older brother's hosiery business, selling stockings to lower east side merchants. Whatever jobs he held in his teens, he eventually enlisted in the US Navy early in World War I and, the war over, again opted for the business world rather than more schooling.

In 1920 he became a junior salesman for the National Gum and Mica co, a small firm that supplied the wallpaper trade with adhesives made from corn, potatoes and other natural products. Though a born salesman and brilliant business analyst, he undoubtedly helped advance his career substantially by becoming engaged to Anna Alexander, the daughter of the company's owner. In January 1921 he indeed married the boss' daughter, a step he frequently later referred to as the surest path to success in the business world. Her father, Alexander Alexander, had seen a "Business for Sale" advertisement in a New York newspaper in 1895 and had purchased National Gum and Mica for \$1,200.

One of Frank Greenwall's great contributions to the company was the realization that if it was ever to grow beyond a small niche business, it needed to develop a much wider range of products, moving into synthetic adhesives that could be sold to the leather goods, packaging and paper-converting industries. He eventually persuaded Alexander to set up the company's own chemistry laboratory to develop these adhesives and other new products, including starches.

Alexander remained president of the company until 1938, and then was chairman of the board until he died in 1940, but Greenwall, as vice

president for sales from 1920 until 1938 and then as president, was the driving force behind the company's steady expansion. The company developed and became a leading producer of hundreds of specialized industrial chemical products, plowing profits and depreciation back into working capital (the company paid no dividend until 1942) and acquiring smaller companies around the country and eventually overseas. In 1928 its name was changed to National Adhesives CORP, in 1939 to National Starch Products, INC, and in 1959 to National Starch and Chemical Corporation. The company's expansion during and after World War II was particularly dramatic, making it eventually one of the Fortune 500.

Long privately owned, the company finally went public on May 22, 1950, selling 90,000 shares at \$20 a share; it was listed on the New York Stock Exchange in October 1961. Greenwall, who was president of the company from 1938 until 1958, chairman of the board from 1958 to 1969 and chairman of the executive committee from 1969 to 1978, sold the company to Unilever in 1978 for \$478 million. At that point he became chairman of the finance committee, remaining on the National Starch board until 1985. During his 65 years of association with the firm, its sales had jumped from \$200,000 in 1920 to \$881 million in 1985.

By all accounts, he was a good employer; an excellent judge of character, and a man happy to share credit and profits. "The way I make money," he would say, "is when the people in my organization make money."

### *The Greenwall Life*

As the Greenwall family's position and wealth increased over the decades, they more and more lived the life of wealthy New Yorkers who happened also to be Jewish. A short, chunky man – he was built like a fireplug, those who knew him say – he was engaging and personable, generally sunny and optimistic, a natty dresser who carried himself assuredly, a man who liked an occasional drink and liked to party, an inveterate story-teller with an enormous sense of humor. Though not athletic, he loved to walk. An ardent baseball and horseracing fan and a generous spender, Greenwall regularly hosted parties at opening day and other baseball games and at Monmouth Park and other horse tracks. Politically he was a staunch conservative, strongly believing that the government should stay out of business.

Anna, a good looking woman even shorter than her husband and a

good bit plumper, loved to eat, loved to shop, loved jewelry, loved to travel. She was a strong-minded woman, though, and her husband invariably treated her as his equal or superior, particularly in Foundation affairs.

Many wealthy New York Jews found Newport and other established summer resorts forbidding and instead, toward the end of the 19TH century, had developed a German-Jewish summer colony along the north Jersey shore, dubbed by some the Jewish Newport. The Greenwalls also headed there. Living year-round in a succession of comfortable Manhattan East Side apartments – a spacious apartment on the 32ND floor of New York City's elegant Hotel Pierre in later years – they weekendend and summered at their cherished Tip-Top Farm, a large home and horse farm in Colts Neck, NJ. They also belonged to the Ocean Beach Club, an exclusive German-Jewish swimming club at Elberon, on the Jersey coast just south of Long Branch.

Almost year-round their weekend routine was the same: at about 1 PM on Friday, a limousine arrived at the Pierre and drove them to Tip-Top Farm, and on Sunday afternoon, after lunch and a nap, they would be chauffeured back to the Pierre. Each fall they would host a party at the farm for several hundred New York and New Jersey friends and business associates, with chartered buses transporting the guests from New York City and back; in later years, the parties would be at the Pierre, with buses to bring their Jersey friends and neighbors to the city for the occasion. Greenwall loved sailing and often rented yachts, inviting friends along; in winter the Greenwalls frequently vacationed for a week or two in Florida or on a Caribbean island.

In December 1941, Frank and Anna had changed their name legally to Greenwall (and Nancy Leven had legally changed her middle name), though Frank Greenwall's brothers retained the Greenwald spelling. "He wanted to be American, not German, and he said that everyone spelled it Greenwall anyhow," recalls grandson Francis. "And he didn't want his grandchildren to be exposed to some of the difficulties he had experienced growing up in New York. He wasn't bitter about it, but he was concerned that being Jewish was a handicap."

Actually, Frank Greenwall – or FG, as business associates and friends frequently referred to him – was not overly or overtly religious. He belonged to Temple Emanu-El on Fifth Avenue and contributed generously, but for most of his life he was what is often referred to as a twice-a-year Jew, attending temple rarely except on the high holy days of Rosh

Hashanah and Yom Kippur. In his final years, though, he did become a more frequent temple-goer.

To follow the Greenwall family tree just a little farther, daughter Nancy had one son, Andrew, by her first marriage to Edward Leven, and later had two children, son Francis and daughter Susan, by her second husband, money manager C Richard MacGrath. The latter formally adopted Andrew and had his name legally changed to Andrew A MacGrath. On her marriage to MacGrath, Nancy Leven converted to Christianity, and though son Francis was raised by the MacGraths as an Episcopalian and went to church regularly, he says that because of his mother's Jewish birth, he always thought of himself as Jewish. In 1993, culminating several years of increasing interest in Judaism and in advance of his marriage to a Jewish woman, Francis legally changed his name from MacGrath to Greenwall and embraced the Jewish faith whole-heartedly. None of Frank Greenwall's grandchildren lives in New York; all are on the west coast.

### *The Foundation Takes Shape*

It was late in 1947 that Frank Greenwall began talking to Oscar M Ruebhausen, his personal attorney, about starting a foundation to study bone cancer, but Ruebhausen persuaded him to broaden the charter and leave the foundation free to contribute to other causes as well.

For many of its early years, The Susan Greenwall Foundation stayed in the strict path of family charities. There was no endowment to speak of; cash came in – additional money from the Greenwalls or earnings on investment – and went out almost straightway. Many of its earliest contributions were \$2 or \$5, but the directors quickly decided this was time-wasting. They voted to make no gift smaller than \$25, and this was soon raised to \$100. During the first 15 years, discussion of program initiatives was minimal; Frank Greenwall – and occasionally Anna – would propose spending items or mention requests the Foundation had received, and these would be briefly discussed and quickly voted up or down. For more than thirty years, the Foundation operated without paid staff; two successive secretaries were borrowed from National Starch.

In March 1950, just five months after its organization, The Susan Greenwall Foundation added two more directors to its Board: Ruebhausen, Frank Greenwall's personal attorney and the man who had drafted the Foundation's incorporation papers and by-laws and also served as

the Foundation attorney; and Joseph J Daniels, an Indianapolis lawyer who had had business dealings with National Starch and had become Anna Greenwall's personal attorney. Gradually in the succeeding years, other Greenwall relatives or friends were added to the Board: Donald D Pascal, a National Starch associate who succeeded Greenwall as the company's president; Greenwall brother Lawrence H Greenwald, an executive of Burlington Industries; Greenwall son-in-law MacGrath; family lawyer Chester Billings, JR; and Dr William S Vaun, a friend and family physician from New Jersey.

Frank Greenwall had from the start seen the Foundation as a means of teaching a proper spirit of philanthropy to his daughter, grandchildren and other family members and also as a way to bring them into contact with people they otherwise wouldn't likely meet. In 1979, grandson Andrew was named to the Board, followed in 1980 by both grandson Francis and granddaughter Susan. Andrew MacGrath was never particularly active in Foundation affairs, however, and in 1997 chose not to stand for reelection. One year later, Susan A T MacGrath resigned, declaring that she was committed to living on the west coast and didn't think it made sense for her to try to stay active in an organization located 3,000 miles away. Francis, as previously noted, remains an active board member.

In 1980, Richard L Salzer, the son of Frank's sister Myra and a senior vice president of an up-market beauty supply company, became a board member, and he was joined on the Board a few years later by his son, orthopedic surgeon Dr Richard L Salzer, JR. Throughout most of the period between 1949 and Frank Greenwall's death in 1985, practically all board members were either members of the Greenwall family, close friends or longtime business associates.

The Foundation Board met annually – later, semi-annually – to decide on grants, but there were frequent "special meetings" to dispose of one request or another. The minutes of many of these special meetings show that the Foundation was long a true Mom and Pop operation. At many a "special meeting," the minutes show, only the two Greenwalls were present. They simply constituted themselves a quorum and transacted the business — "pillow talk philanthropy," an acquaintance calls it. Frank Greenwall would often call directors telling them, "Anna and I had a meeting last night and we agreed to...." For example, at a "special meeting" in June 1969, twenty years after the Foundation's founding, the two Greenwalls were the only directors present and approved a Foundation

gift of \$100,000 over five years to the Manhattan School of Music to construct a lounge and exhibit gallery in memory of Susan A Greenwall.

"We were hardly an independent board," concedes one member. "We approved what the family wanted."

Certainly Frank Greenwall's original concept of philanthropy was a limited one. He wanted to memorialize his daughter, to do something about bone cancer, to teach his descendants about philanthropy — and to have another pocket from which to make many of the family's usual bequests. Each year he and his wife would agree on how much they would put into the Foundation that year — sometimes in cash, sometimes in real estate, sometimes in National Starch stock. Generally, the contributions would cover the Foundation's expected grants and expenses; there was no sustained effort to build a large endowment. Though Frank was generous by nature, Anna liked to hang on to money, and Frank occasionally referred to her, friends say, as "a reluctant philanthropoid." The Foundation was primarily a vehicle for the good works the family almost certainly would have been doing anyhow.

One of Mrs Greenwall's aunts had helped found the Jewish Home and Hospital for Aged, so that became a frequent major beneficiary. In 1968, for example, the Foundation voted to give \$1 million over several years for a new 10-story nursing home on the Home's property in the Kingsbridge section of the Bronx. Dick MacGrath had gone to Princeton, so the Foundation provided money for scholarships at Princeton. MacGrath children Francis and Susan attended Groton, so scholarship grants went to Groton. Dick MacGrath was on the board of the Skowhegan School of Painting and Sculpture; that was the obvious place for a faculty chair in honor of Nancy MacGrath. The MacGraths loved opera, ballet and the rest of the New York social scene; large grants were made to the Metropolitan Museum, the Metropolitan Opera, the Lincoln Center for the Performing Arts, the Museum of Modern Art, the New York Public Library and other causes favored by wealthy New York socialites.

Nor was it just family charities that benefited; Foundation money often went to the charities and causes of Greenwall friends and business associates. When Ruebhausen became chairman of the board of trustees of Bennington College, the Foundation voted \$100,000 and then (in another Mom and Pop decision) an additional \$175,000 to help Bennington build a visual and performing arts complex.

Throughout the first 35 years of the Foundation's existence, in fact, the

Foundation's grants were typical of those of most well-to-do New York City families: well-known and popular causes or institutions for which the family had formed a special attachment. In addition to large contributions to the Metropolitan Opera and the major Manhattan museums, favored organizations included the Federation of Jewish Philanthropies of New York and other large Jewish charities, Goodwill Industries, the New York Times Neediest Cases, and a variety of organizations to help the blind.

### *Assets and Grants Creep Up*

Usually the Greenwalls' personal giving far exceeded the Foundation's. Frank Greenwall often said that if Foundation directors didn't approve of a particular project he favored or couldn't approve it for tax or other reasons, "Anna and I will do it ourselves." The Greenwalls did indeed personally fulfill many pledges the Foundation had made.

The Greenwalls kept making small grants of National Starch stock or New Jersey farm land to the Foundation, and very gradually the Foundation's year-end assets inched up — and so did the annual grant level. In 1970, the assets topped \$1 million for the first time, with grants totaling \$286,514, almost entirely in the medical program. Heavy six-figure spending in the next few years dropped the Foundation's value back as low as \$604,611 at the end of 1973, and it wasn't until 1977, twenty-eight years after the Foundation was launched, that year-end assets again went over \$1 million — \$1,033,610 as of December 31, 1977, to be precise. In that year, the Foundation had received \$388,003 worth of National Starch stock from the termination of a trust that FG had set up for a former executive assistant (with the understanding its contents would go to the Foundation on her death), and for the next few years the asset figures resumed their steady but slow climb. Grants authorized in 1977 were down to a comparatively meager \$90,660 (administrative expenses were still under \$5,000.) By contrast, the Greenwalls' personal grants that year were \$198,814, more than double the Foundation figure.

Starting in the early 1960s, a beneficiary that earlier had received occasional small amounts of Foundation money became a major beneficiary: the Monmouth Medical Center at Long Branch, NJ, a medical institution near the Greenwalls' New Jersey home. The Monmouth County Boy Scouts, the Monmouth County Mental Health Association, Monmouth College and a score of other Monmouth County organizations and charities had



received small gifts over the years both from the Foundation and from the Greenwalls personally, but now a large commitment was made to the Medical Center. Frank Greenwall had joined the Monmouth Medical Center board in 1955 (remaining a member until he died 30 years later) and from 1963 on, the Greenwalls and the Foundation made a series of five- and six-figure grants to build first a Susan Alexander Greenwall Pavilion as a key part of a major expansion of the Medical Center and a few years later an Alexander Pavilion in honor of Anna Greenwall's parents, Josephine and Alexander Alexander.

Though the Foundation's current guidelines for grantmaking say that the Foundation does not look with favor on grants for construction or renovation, this was obviously not always the case, as the grants to the Monmouth Medical Center and the Jewish Home and Hospital demonstrate.

Bone cancer research had been specifically mentioned in its founding documents, but the Foundation did comparatively little in this area for much of its first few years. The number of people with the disease was small, comparatively little research was in process, and it was hard for the Foundation to find worthy projects. Starting in 1954, however, regular and increasing support was provided for research as well as capital projects at New York's Hospital for Special Surgery. Then in 1983, the Hospital for Special Surgery and Memorial Sloan-Kettering Cancer Center requested and received funding to train two Fellows a year for two years each, with the idea that these "super-specialists" would undertake research on bone cancer and also go out to treat patients in other hospitals across the country. Support for this program continued through the 1990-1991 academic year.

### *Death Takes a Toll*

From time to time in the early years, the Foundation Board would discuss the question of "how long" – how long the Foundation should continue – without ever reaching any firm conclusion. Minutes for the 1956 annual meeting, for example, report that the Board discussed the possibility of spending down its funds, thus putting the Foundation out of business; however, the minutes continue, the directors eventually concluded that one board couldn't bind a future board. Generally, though, the Greenwalls seemed to be leaning towards a termination of the Foundation 25 years after Anna, Frank and Nancy should all have died. Since Nancy was still comparatively young, that put termination well into the future.

At the 1976 annual meeting, Frank announced that when he and Anna died, bequests from their estates would boost the Foundation's assets to approximately \$30 million, and suggested that directors start thinking of "future programs...in the light of this anticipation." In fact, that time was drawing closer than directors might have realized.

Some time in 1977 or early 1978, Anna Greenwall began showing signs of mental illness, and was diagnosed with degenerative dementia — what today would almost certainly be called Alzheimer's disease. She soon became unable to carry on with Foundation business or, in fact, any kind of business. In 1980, after a suitable tribute to her long leadership, the Foundation's directors elected her President Emeritus, and chose daughter Nancy G MacGrath as the new president, only the second in over 30 years. Tragically, however, she was to serve for only a few months; that summer, flying to Martha's Vineyard for vacation, she suffered a massive heart attack and died. A few months later, on March 5, 1981, Anna Alexander Greenwall also died — at the age of 82 and after 60 years of marriage.

Inevitably, Frank Greenwall went into a period of inactivity if not depression, but nonetheless the Foundation's May 1981 meeting named him to succeed his wife and daughter as president, the third in the Foundation's history. That same meeting also decided to change the name of the Foundation. After almost 32 years as The Susan Greenwall Foundation, INC, it became simply The Greenwall Foundation, spreading the recognition to include Anna and Nancy in addition to Susan.

As Anna's illness had grown worse and his need to be with her had grown greater, Frank Greenwall had hired John L Dugan, JR, a former Johnson and Johnson sales executive, to help him with the family's personal philanthropies. Now, Greenwall told the Board, Dugan would also help on Foundation affairs, since the Foundation still lacked any paid staff.

After his election as president, Greenwall led board members in another discussion of the Foundation's future. The board minutes carry this report: "Previously it had been the feeling of the Founding Members, concurred in by the other members, that the Foundation might well be liquidated 25 years after the death of the last survivor of Mr and Mrs Greenwall and Mrs MacGrath, but it was now felt that by reason of the deaths of Mrs Greenwall and Mrs MacGrath, this term has now been shortened beyond anyone's prior expectation. It was the sense of the meeting that there is now no objection to an indefinite continuance, with the appropriate time

for liquidation to be left to the future discretion of the Board of Directors." In essence, the Foundation was to continue indefinitely, unless some future board of directors decided otherwise.

Anna Greenwall's death brought other changes important to the Foundation's future. Throughout the 1960s and 1970s, Frank Greenwall's philanthropic horizon had been slowly expanding. Now, having lived through his wife's long suffering and slow dying, he had begun to think about the care of the aged, especially those with Alzheimer's and other diseases affecting the aging brain and nervous system. Moreover, he increasingly questioned the way modern medicine was prolonging the dying process. During his wife's illness, Dugan and Vaun recall, he frequently made remarks like this one: "We treat our horses better than we treat human beings. When nothing can be done to help them, we put horses out of their misery. But we continue to keep people alive long after it is a humane thing to do." After her death, Greenwall challenged Dugan and Vaun to see what the Foundation might do to change the situation — the beginning of a bridge to the Foundation's current interest in ethical issues surrounding the treatment of the elderly, the mentally ill, and the dying.

More immediately, however, Greenwall's concern over the treatment of the old and dying produced a new Foundation interest in gerontology and geriatric medicine. In 1982, the Foundation voted to give the American Federation for Aging Research \$50,000 a year for three years to finance an Anna A Greenwall Career Investigator Award for research on aging, and the Federation received several additional research grants in succeeding years.

Large new sums went to the Monmouth Medical Center to establish the Anna Alexander Greenwall Geriatric Program there — \$300,000 for major renovation of the Alexander Pavilion, where the program would be housed, and \$1.5 million over eight years for operating expenses. Vaun would temporarily head the program, in addition to his normal duties as the Center's head of medical education. In 1983, the Foundation also awarded \$1.2 million to the Mount Sinai School of Medicine to endow an Anna A Greenwall professorship in geriatric medicine; the new professor was to train medical students and graduates in better ways of taking care of old people and to conduct research on caring for the frail elderly and those with Alzheimer's, Parkinson's and other diseases of the old. The program was to be based at the Jewish Home and Hospital for Aged. It

was actually a Mount Sinai-trained geriatrician, Dr Joel S Ross, who in 1986 took over the Monmouth program from Vaun.

Still another grant, \$200,000 over three years, created a geriatric program at the White Plains Hospital Medical Center in White Plains, NY, in memory of Louis and Myra Salzer. Myra was Frank Greenwall's sister, and son Richard was on the White Plains Hospital board as well as on the Foundation Board. The Foundation's annual report for 1984 expressed an additional Foundation interest in encouraging "innovative solutions to keeping the elderly at home in independent, yet supportive living situations, an issue not yet adequately addressed by the health care system."

And, of course, Anna's death had a very concrete impact on the Foundation's finances. In 1982 and 1983, the Foundation received over \$13 million (actually \$13,257,738) from Anna's will and the sale of jewelry and other items left to the Foundation, and by the end of 1983 the Foundation's assets had climbed to \$19,773,775. Since federal tax laws require foundations to distribute each year at least 5% of their assets or else pay a penalty tax, the Greenwall Foundation found itself needing to increase dramatically its annual giving, to about \$1 million a year. The Foundation's enlarged assets and responsibilities also finally forced it to examine ways to improve its administrative set-up. Anna's bequest "both enlarged the opportunities and increased the responsibilities" of the Foundation Board, the Foundation's 1984 annual report declares.

Following Frank Greenwall's accession to the presidency in 1981 and his recognition of his own flagging energy, he and counselor Ruebhausen had begun to make structural changes in the Foundation. The 1981 change in the name of the Foundation was followed shortly by a by-law revision designed to ensure continuity of leadership; it created for the first time a Chairman of the Board who was to have "general supervision over the affairs of the Corporation," and Ruebhausen was elected to that job. At the same time, to tighten up administration, Dugan was appointed the Foundation's full-time Executive Director. This was the first time the Foundation had a paid employee; the officers had always been unpaid and the secretary had always been on the payroll of National Starch. These steps lightened the burden on Frank Greenwall and assured him that on his death there would be a smooth transition at the Foundation.

Over the following two years, the Board more precisely defined the Foundation's philanthropic objectives, set up subcommittees to screen grant proposals, and retained professional investment advisers to manage

the Foundation's endowment. (Before that, investment decisions had been made pretty much by the seat of Frank Greenwall's pants until 1964, when the Board had established a Finance Committee to make these decisions.)

"The calendar year 1984 was the first full year of operation of the Foundation as presently constituted and funded," President Greenwall and Board Chairman Ruebhausen declared in the Foundation's annual report for 1984, the first annual report given general distribution. The transition from a narrow family foundation to an independent, wider-ranging foundation had taken long strides.

### *The Transition Goes On*

Ruebhausen, the new board chairman, was in many ways the ideal person to effect the Foundation's makeover. A liberal Democrat whom the highly conservative Greenwall often jokingly introduced as "my pinko friend," Ruebhausen had been a close adviser to Greenwall and a key member of the Foundation Board for over 30 years. He was also, however, a prominent member of the New York City bar, active and widely connected in the New York public affairs community. From long association, he was well acquainted with Greenwall's goals for the Foundation but as a longtime policy activist he had thoughts on just how a relatively small foundation might have greater impact on public policy. He believed that there were ways to stay within the three broad areas on which the Foundation had gradually concentrated under Frank Greenwall's leadership – medical research, education, and the arts and humanities – and yet get more significant results from the Foundation's dollars. It would, of course, be a gradual process.

A first priority would be to attract to the Board nationally-known people of experience and independence, people with first-hand knowledge of the areas where the Foundation would be putting its money. The search began in the latter days of Frank Greenwall's life and accelerated after his death. In 1983, the Board had added Dr George Bugliarello, president of Polytechnic University in Brooklyn, a man whom several board members had come to know and admire during negotiations for Greenwall support of a major Polytechnic project.

Frank Greenwall had long supported the school that initially was Brooklyn Poly and then the Polytechnic Institute of New York. He deeply believed that a science education was probably the surest path to success

in the business world of the 20TH century. Also important to him was the fact that Donald D Pascal, the man who succeeded him as National Starch president and who was a member of the Foundation Board, had received his chemistry degree by taking night courses at Poly.

In the early 1980s, Polytechnic, which had absorbed the NYU School of Engineering and Science in the mid-1970s, proposed to embark on a major project known as MetroTech, a high-tech academic-corporate industrial park aimed at reviving an extremely depressed area of downtown Brooklyn. At the heart of the project was to be a new library/telecommunications center, likely to be particularly attractive to the communications companies and other large corporations Polytechnic hoped to draw to the area, but Polytechnic needed seed money to start the center. In 1984, on assurances from Frank Greenwall that he planned to transfer more money to the Foundation, the Board approved a \$300,000 grant and a \$2,700,000 ten year, low-interest loan to Polytechnic, setting the stage for MetroTech to go forward.

In 1985 another major but inevitable event occurred: Frank Greenwall's death. After the May board meeting, his health declined at an accelerating rate, and on December 28, 1985, he died, at the age of 89. In the Foundation's 36 years, he had missed only one board meeting and had clearly been the major voice in practically all decisions.

A board resolution memorialized him as "not only a generous but a careful giver...He wanted his contributions not simply to do good but to make a difference. He had no interest in publicizing the giver." (Vaun tells of the time he and Greenwall were walking along Gustave L Levy Place, in front of Mount Sinai Hospital. "See," Greenwall said, "ninety-nine out of 100 people pass by here and wonder who the heck was Gustave Levy? Don't ever do that to me. I don't want anyone asking, 'Who the heck was Frank Greenwall?')") Though he shied from personal publicity, he was always happy for the Foundation to have it.

### *The Foundation in the Late 1980s*

In 1986, the Board elected Executive Director Dugan to replace Greenwall as president, though it was clear that his was to be an interim presidency, concerned mainly with keeping the Foundation's day-to-day operations running smoothly. At that point, the Foundation also acquired its second employee: Edith Levett, who had long served as the Foundation secretary

in addition to working as Frank Greenwall's executive assistant at National Starch, had been on the company's payroll. On his death, she switched over to the Foundation payroll and continued as Foundation secretary.

With Ruebhausen dead and all the relatives of his choice already on the Board, Ruebhausen intensified his search for experienced people who could contribute to his own expanded visions for the Foundation. One of his first choices was Edward M Kresky, an investment banker and former vice chairman of the New York State Council on the Arts. Then in rapid succession Ruebhausen recruited Dr Beatrix A Hamburg, a well-known psychiatrist on the staff of the Mount Sinai Medical Center, and Dr George F Cahill, JR, director of research at the Howard Hughes Medical Institute and a former head of research at the Joslin Diabetes Foundation in Boston and professor of medicine at Harvard Medical School.

Foundation directors had become acquainted with Cahill during their search for possible diabetes grants. Francis Greenwall, Nancy's son, had been diagnosed at the age of 12 with juvenile-onset diabetes mellitus (insulin dependent, Type 1). In 1981 Frank Greenwall had decided he would like the Foundation to endow a professorship for diabetes research at a major university, and diabetes for a time became a major focus for Foundation spending. The early 1980s saw a number of Foundation grants to the Juvenile Diabetes Association and other diabetes research organizations. In 1985, however, the Foundation Board decided it should make "a major commitment" to finance one or more admittedly high-risk projects aimed at finding either a cure for diabetes or a method of preventing it, and indicated it was ready to commit substantial sums over several years to innovative projects. Instead of supporting the more traditional avenues of research, it would seek projects using immunology, molecular biology, genetic engineering and other new scientific fields which might provide better understanding of how diabetes worked.

The Board prepared a request for proposals, a standard foundation technique, and sent this out to 14 leading research centers; six proposals came back. For an independent analysis of these, it turned to a panel of three well-known researchers, headed by Cahill. The panel ranked the proposals, expecting the Board to approve just one, but the Board found three proposals impressive enough to merit substantial multi-year grants — those from the Joslin Diabetes Center in Boston, the University of Texas Southwestern Medical Center at Dallas and the University of Virginia School of Medicine. Joslin would concentrate on using the new sciences

to search for a cure, while the latter two centers would concentrate on possible ways to prevent the disease in diabetes-prone individuals. The total commitment was \$1.3 million over two years, with the likelihood of a two-year renewal if progress seemed satisfactory.

(To bring the diabetes story up-to-date, all three projects were funded through the early 1990s, when a sudden outpouring of diabetes research dollars from the National Institutes of Health and other federal agencies made the Foundation's efforts seem superfluous. The Foundation still finds an occasional project sufficiently innovative to back, though. In the fall of 1998, for instance, it approved a small grant to Stanford University researchers to study possible new ways of blocking the movement of lymphocytes from the bloodstream to inflamed pancreatic islets.)

Frank Greenwall's death brought the Foundation the rest of the money it had been told to expect: \$20 million from his estate, a small amount in 1986 and the bulk in 1987. (In 1989 the Foundation received an additional \$112,489 from the sale of imported porcelain china that Anna had purchased over the years. Frank Greenwall had continued to display the china after Anna's death, and it wasn't finally sold until 1989.) At one point, Greenwall had told Dugan that he wanted annual Foundation grants to reach about the level he and his wife personally contributed to charities each year, somewhere between \$2 million and \$3 million. Dugan had replied that this would take an endowment of between \$40 million and \$50 million. With the bequests from Frank Greenwall's estate, the Foundation's assets approached the top end of that goal. At the end of 1987, the Foundation's assets stood at \$47,821,833.

Practically all the money the Foundation has ever received, except for earnings or appreciation on invested funds and Nancy Leven's initial \$500 contribution, came from Frank and Anna Greenwall as gifts or bequests. A few board members over the years waived their director fees, but no other individual or group ever contributed directly. Initially the Foundation's guidelines prohibited it from having more than 40% of its assets in equities. Today, its equity allocation target is 70%, with 60% in domestic equities and 10% in international. During the late 1980s and 1990s, critical insight was provided by Foundation board members Carl B Menges, vice chairman of Donaldson, Lufkin & Jenrette, and Donald J Donahue, chairman of Magma Copper co.

### Rules and Regulations

Unlike many foundations, Greenwall has never had a formal application form; instead, grant-seekers are asked to write a letter setting forth what they do, why they want the money, a proposed budget, a statement of their qualifications to carry out the project, and other supporting material. On a few occasions, when the Foundation knows it wants to do something but isn't quite sure of just where or how, it has used the request-for-proposal or RFP system, and asked interested parties to submit their ideas. Then the Foundation investigates and selects. In early 1999, the Foundation set up a modest Web page, mainly to inform possible applicants of its grant guidelines and to list previous grants so that grant-seekers could get more specific insight into where the Foundation had been spending its money.

"One of our goals," the current guidelines declare, "is to put in place programs which can become self-sustaining and thus continue to serve the needs of society far beyond the limited term of our funding."

In the mid-1980s, the Foundation developed the internal structure it still uses — a board of 15 to 18 members, with an executive committee, a nominating committee, a finance and budget committee, and advisory committees for each of the Foundation's three programmatic areas. These advisory committees — medical, education, and arts and humanities — are the real workhorses of the Board. Consisting of six to eight board members each, they discuss and review staff recommendations on new grant proposals and then make recommendations to the full Board. The Board Chair, elected by the full Board, makes committee assignments and chooses committee chairs. Discussion within each committee — and frequent conversations with the committee chairs — give Foundation staffers a good idea of what each committee is looking for in the way of new proposals. Unlike many foundations where the board of directors debates and passes on each grant, the Greenwall Board has thus far generally concentrated on making broad policy decisions, almost routinely approving grant proposals as they come from the committees. If some board members seem uneasy with a proposed grant, the committee proposing it usually takes it back for further consideration.

To promote turnover and an infusion of new blood, no board member over 72 can be elected or reelected, and any board member reaching 72 must retire at the next annual meeting.

### Overhauling the Arts Program

With Dugan installed in December 1986 as the Foundation's fourth president, working chiefly to provide day-to-day administrative oversight, Ruebhausen and the Board began to explore new directions.

Significant change came first in the arts area, where Ruebhausen and Kresky saw opportunities to take a new approach to carrying out the Foundation's avowed aim "to foster the growth of New York City as a world-renowned cultural center." Their idea was to move Foundation grants away from the traditional big-name organizations such as the Metropolitan Museum or the Metropolitan Opera, where a \$5,000 or \$10,000 contribution made comparatively little impact, and steer that money instead to small growing arts organizations and promising artists to whom that amount of money could mean the difference between survival or surrender. At the same time, the Foundation would seek to spread its grants to boroughs beyond Manhattan and also begin to subsidize some of the fast-growing minority arts groups.

In the late 1980s, the expanding level of grants required by the Foundation's enlarged assets clearly called for additional staff help, and in the spring of 1988, the Foundation hired Barbara Sieck Taylor as a program officer, its third employee. She had previously worked for a much larger foundation and, as a former actress married to the director of a dance group, had extensive contacts in the New York arts world; her arrival fit perfectly with the Ruebhausen-Kresky plans. Just two years later, however, her husband relocated to Pittsburgh and she went with him. In the fall of 1990 she was replaced by Fredrica Jarcho, who had most recently worked for Symphony Space and who rapidly established herself as a knowledgeable and highly regarded figure in the city's arts community. Ruebhausen, Kresky and Taylor/Jarcho gave the push but the rest of the Foundation Board was completely in tune.

In 1987, the largest grant in the arts and humanities program was still to the Metropolitan Opera — \$25,000 a year for five years for its Young Singers Development Program, plus \$33,000 for general purposes. In addition there were \$10,000 awards to the American Museum of Natural History, the Lincoln Center for the Performing Arts, the Museum of Modern Art and the New York City Opera. But there was also \$10,000 each to the Harlem School of the Arts, the Studio Museum in Harlem and the Avin Ailey dance troupe, along with smaller grants to a number of other

small arts organizations. By 1989, arts grants were awarded to 49 organizations, with the amount ranging from \$50,000 for the Brooklyn Academy of Music's opera program down to \$2,000 to Urban Bush Women to support a new work by choreographer Jawole Willa Jo Zollar. In the middle were small and medium-sized grants to such organizations as the Paul Taylor and José Limón dance companies, the Queens Symphony Orchestra, Repertorio Español, Playwrights Horizons, and the Trisha Brown dance company to develop work in collaboration with artist Robert Rauschenberg. The arts and humanities program was well on its way to its current shape.

### *Bioethics Enters the Scene*

As the arts program began to move into new areas towards the end of the 1980s, the Foundation Board started to show growing interest in another developing area. This was bioethics, the attempt to create an ethical backdrop for dealing with the complex new life and death dilemmas that scientific and technological progress was forcing society to confront.

Did Frank Greenwall have bioethics in mind when the Foundation gave that \$10 to the Euthanasia Society in 1949, or was he just automatically responding to a friend's request? The record doesn't show. But certainly his late-in-life interest in the treatment of Alzheimer's and other dementias and in the care of the old and dying – his remarks about treating horses better than humans – fit with a broader interest in bioethics.

When in the early 1980s he had challenged Dugan and Vaun to see whether the Foundation might help improve the treatment of the elderly and the dying, the two men had done considerable investigating, but ultimately they had decided the field wasn't quite ready for useful Foundation involvement. A little while later, though, the Foundation did cautiously put a toe in the bioethics waters. Officials heard that a task force at the Hastings Center, then the country's leading bioethical think tank, was just completing a study on the care of the dying, along with suggested guidelines for situations where it might be appropriate to consider ending life-sustaining treatment of the terminally ill. Foundation officials encouraged Hastings to submit a grant proposal, and in November 1987 awarded Hastings \$219,000 over three years to publish the task force report and to have Susan Wolf, the task force's executive director, travel around the country publicizing the report and its guidelines.

Then in March of 1988, the Board invited two nationally-prominent

bioethicists to discuss recent development in bioethics and "the role which a foundation such as ours might play in the future development of that field." And only two months later, with an eye to freeing up money for new ventures, the Foundation Board voted to notify the Monmouth and White Plains hospitals that Greenwall intended to phase out its geriatric programs and that 1991 would be the last year they could expect Foundation support. Now the Foundation could gradually build bioethics into its major program.

The growth in grantmaking due to the enlarged assets from the Greenwall estates was automatic but none the less dramatic. Whereas in 1979 grants had totaled \$114,790, with the bulk going to the education and arts programs, by the late 1980s grant awards were running a little over \$2 million a year, with the medical area accounting for between 60% and 70% of the total, thanks largely to the generous outlays for the diabetes and geriatrics programs.

### *Stubing Becomes President*

As the decade of the 1980s drew to a close, Dugan indicated he was ready to retire after four years in the presidency, and the search for a new president began. The choice ultimately settled on William C Stubing, then director of the New York Academy of Medicine and a seminary graduate; he was elected at a November 1989 board meeting, to take over January 1, 1990 as the Foundation's fifth president. The Board gave him six specific charges but top priority was to go to developing a program in bioethics. This was an area in which Stubing was already interested and which he was eager to tackle. At a May 1991 board meeting, he reported that he had surveyed the foundation field, and that while a few foundations were making one or two grants each in the bioethics area, he had not been able "to identify any foundation with a clearly defined program in bioethics."

That year for the first time an "Interdisciplinary Program in Bioethics" became a specific part of the Foundation's mission, establishing biomedical ethics as a new initiative within the field of medical research. New guidelines announced that the Foundation intended to provide grants "for physicians, lawyers, philosophers, economists, theologians and other professionals to address micro and macro issues in bioethics, providing guidance for those engaged in decision-making at the bedside as well as those responsible for shaping institutional and public policy."

The Foundation, the guidelines continued, seeks "to stimulate applied

research; to support development of education programs for health professionals as well as for lay people; to encourage collaboration — intra- and inter-institutional, regional, national and international; to foster public discussion of issues and development of policy options to assure that information is used for the benefit of the individual and the benefit of society; and to assist in the development, evaluation and utilization of standards of behavior and policy guidelines.” The current Web site provides an additional sentence not contained in previous guidelines: “The Foundation is especially interested in supporting pilot projects and the work of junior investigators, and it is prepared to address issues regarded by some as sensitive or potentially controversial.”

The Foundation’s bioethical program did indeed take shape rapidly, growing until it is now by far the largest component of the Foundation’s activities; in 1998 over \$3 million of new bioethics grants were approved. With almost a decade of bioethics grants now behind it, The Greenwall Foundation has established a reputation as a reliable resource in financing trailblazing bioethical research.

As Stubing settled into office, Ruebhausen decided to retire. Clearly the guiding spirit in reshaping the Foundation, he was elected Chairman Emeritus at the May 1991 board meeting, but remained an influential counselor to the new president and the Board. Successive board chairs were similarly experienced and engaged, working smoothly and effectively with President Stubing. Cahill moved in to replace Ruebhausen, and remained as chairman until 1996, when he was succeeded by Stephen Stamas, a former oil company executive widely experienced in foundations and academic organizations. In 1999, the chair was taken by geriatrician/ethicist Dr Christine K Cassel, a professor and Chairman of Geriatrics and Adult Development at the Mount Sinai Medical Center.

Stubing was also to enjoy remarkable staff stability in the 1990s. Two weeks after becoming president, he engaged a young Hamilton College graduate, Robert J McMinn, to serve as grants administrator. In August, Fredrica Jarcho (who, as noted above, was then working at Symphony Space) was named program officer. And upon Edith Levett’s retirement in 1992, Rosmarie Homberger, an employee at Advocates for Children, was elected Corporate Secretary. This team of four — Stubing and his three assistants — continues in place today, an incredibly small staff to run so large and active a foundation.

### *Early Bioethics Grants*

Throughout the 1990s, and particularly during the last half of the decade, the Foundation’s assets soared, almost entirely due to the surging stock market. Net assets, which had gone over \$50 million in 1989, passed the \$75 million mark in 1996, reaching \$79,388,432 at the end of that year. At the time of the Foundation’s annual meeting in May 1999, assets totaled \$107,466,292. Naturally, the level of grants has risen in step. Whereas new grants authorized in 1989 totaled a little over \$2 million, the amount was up to over \$3.2 million by 1997 and up to a record \$5.2 million in 1998. Almost \$4 million of grant money was actually paid out in 1998.

Greenwall’s current ranking among the 1,000 largest grant-making foundations — 439<sup>TH</sup> in terms of assets in 1997, the latest year for which the Foundation Center has published data — is clearly a far cry from what it would have been in 1949; it wouldn’t even have made the list then. Greenwall is still relatively small in size and giving compared to such giants as the Lilly Endowment, Ford Foundation, W K Kellogg Foundation, Robert Wood Johnson Foundation and others with many billions of dollars of assets and annual grants of several hundred million dollars or more. Yet by centering its attention on a comparatively neglected area such as bioethics, it has proven that a small or medium-sized foundation can have disproportionate impact, eventually attracting to the area the attention of much larger grant-making institutions.

When The Greenwall Foundation made bioethics a major area of funding, “it was a kind of coming of age for bioethics,” one veteran bioethicist observes.

An early Greenwall bioethics grant, one that immediately brought notice to the Foundation’s serious intent to exert major influence in bioethics, went in 1993 to the Institute of Medicine, the arm of the National Academy of Sciences that studies issues of health care and health policy. The Greenwall grant of \$131,500 was to provide initial support and half the budget for an IOM committee to convene a large workshop to study the scientific, ethical and public policy issues raised by xenografts, the transplanting of tissues or organs from one species (in this case, animals) into another species (humans). For the next few months the Institute struggled unsuccessfully to get government agencies or other organizations to put up the rest of the budget.

Then the news broke that as part of an AIDS therapy project, California researchers were poised to transplant a baboon's bone marrow into an AIDS sufferer, and half-a-dozen government agencies and foundations rushed to offer 10M the rest of the money. More than 40 professionals spoke at the workshop, attended by several hundred others. The committee's long-awaited report, issued in 1996, recommended that "well-chosen" xenograft transplant trials should be allowed to proceed once the scientific base was adequately established and once adequate safeguards against disease transmission were in place.

One of the Foundation's most ambitious current projects is the 10-year Greenwall Fellowship Program in Bioethics and Health Policy. Begun in the 1995-96 academic year under the joint oversight of Johns Hopkins University and Georgetown University, the program has as its goal the production of a cadre of men and women, trained in both bioethics and in public policy, to help counsel the nation on the difficult choices ahead in health care.

Four men and women are chosen each year as Greenwall Fellows — they must already have at least a law, medical or PHD degree — and with the help of faculty mentors, they work their way through a two-year, tailor-made interdisciplinary course. They study such subjects as genetics, new reproductive technology, the allocation of resources and the use of advance directives. They carry on research, listen to guest speakers, present papers at faculty seminars, lead discussions for medical students at both Georgetown and Hopkins and, perhaps most importantly, work summers as interns in federal agencies, congressional committees or private organizations dealing with health policy. The Foundation granted \$1,250,000 for the first five years of the program, and then renewed the program for another five years with a similar amount of money.

"Our hope is to provide the next generation of leadership in bioethics and health policy," says Ruth R Faden, director of the Bioethics Institute at Hopkins. "We focus on public policy, not clinical or bedside. Our people do internships on Capitol Hill or at the Health Care Financing Administration, instead of internships in ICUS or AIDS clinics."

The early graduates of the program appear to be doing exactly what they were supposed to do: teaching bioethics at US and Australian universities or holding staff positions at the Institute of Medicine, the federal Agency for Health Care Policy Research and the National Bioethics Advisory Commission.

### *Bioethics Grants Blaze Trails*

An earlier Greenwall project financed the development of an interdisciplinary bioethical center at Stanford University. Professors from Stanford's law and medical schools and from other university units had already been working together on bioethical projects for several years, but Greenwall money allowed these scholars to organize into a formal unit. Now the Stanford University Center for Biomedical Ethics sponsors a steady succession of important conferences and produces a stream of noteworthy papers on such subjects as care of the terminally ill, genetic testing for people at special risk of breast cancer, the ethical issues in the policies of managed care organizations, patient-physician communications, the use of fetal tissue, and ethical issues in germ-line experimentation. Another current undertaking: a series of videotapes to be used in medical schools to trigger discussion of bioethics issues.

Dr Susan W Tolle, director of the Center for Ethics in Health Care at Oregon Health Sciences University, used Greenwall money to develop two forms called POLSTs, Physician Orders for Life Sustaining Treatment. One form is a bright pink one-page document and the other a bright pink wallet card; on these forms a physician records an individual's decision on what kinds of life support measures, if any, he or she wants in a life-threatening situation. The goal is to increase the likelihood that other health care providers will see and honor the person's wishes if at some point the person becomes unable to express them. Greenwall supplied the money to develop the form, test it at the grass roots and later survey its effectiveness. The POLST approach has proved so attractive that the Robert Wood Johnson Foundation is financing its distribution nationally. "With very little money we have had a very large impact," Tolle says.

Frequently bioethics projects have intersected the Foundation's interest in the arts. *Dreams and Dilemmas* is a Greenwall-financed documentary film made to illustrate the agonizing choices facing both health professionals and parents or prospective parents in the treatment of very premature babies. Filmmaker Richard Kahn spent a year in the Intensive Care Nursery at Dartmouth-Hitchcock Medical Center, recording the traumatic trials of a family with very low birthweight twins — the wrenching decisions that both doctors and parents must make on whether or not to continue to treat babies who, even if they live, will most likely be seriously impaired for life. Highly dramatic, the film shows the stress on the doctors,



the severe tensions between the parents, and the death of one twin; it ends as the other twin is finally allowed to leave the hospital. Developed as a teaching tool, the film has been shown on public television and used at a variety of national meetings to illuminate bioethical dilemmas and the importance of shared professional-parent decision-making in these almost-impossible situations.

A more recent grant to the Stanford University Center for Biomedical Ethics is establishing a Filmmaker-in-Residence program there to produce films that might help bridge the gap between academics and the public on these ethical predicaments. The films, it is hoped, will also provide an effective teaching tool to educate professionals.

The Center for Bioethics at the University of Pennsylvania Health Systems got a Greenwall grant of \$300,000 for a three-year study of what director Arthur Caplan calls "empiricized bioethics" — testing the validity of bioethical concepts through first-hand observation of real life situations. One team is studying how well obstetrical departments in Philadelphia hospitals are protecting patient confidentiality, another is looking at the ways patients are recruited and informed about genetic testing for breast cancer susceptibility, and a third is observing how researchers go about asking people to contribute DNA for use in experiments.

Much of bioethics deals with illness and death, and many Greenwall grants inevitably address these sensitive areas. The organization Choice in Dying received a six-figure, five year grant to work with medical schools to provide more training in the care of the dying. A recent grant to Chicago's Rush-Presbyterian-St Luke's Medical Center underwrites research on "Ethical Decision-Making in End-of-Life Care for Persons with Alzheimer's Disease." This project will not only explore the ethical dilemmas facing health care providers and families in making decisions about treating individuals with severe dementia in their final few days of life but will also seek to develop general guidelines for decision-making in such cases. The Seattle Institute for Biomedical and Clinical Research has, with Greenwall help, undertaken an in-depth study of the thoughts and emotional processes of individuals who have asked for a hastened death, and the thoughts and emotions of their families and friends. A five-year Greenwall-financed program under Dr Diane Meier at Mount Sinai Hospital involved extensive research on ways to provide palliative care to terminally ill patients; the researchers also worked with the hospital's doctors to improve actual clinical practice in treating these patients at Mount Sinai.

### *New Directions in Bioethics*

As scientific and technological knowledge speeds ahead, Greenwall grants seek to keep pace or even a step ahead. One recent Greenwall grant for Penn's Center for Bioethics finances an interdisciplinary group to analyze and offer policy recommendations about ethical dilemmas arising from the ongoing explosion in knowledge about the human brain. Among the group's specific study subjects are diagnosing and predicting brain diseases and disorders, "treating" the brain, and enhancing brain function.

In the spring of 1998, the Foundation financed a widely-reported public forum at the University of California, Los Angeles, that attempted to assess the potential of human germ-line engineering over the next 20 years and to examine the scientific and ethical arguments for and against pursuing it. Later in the year, the Foundation gave UCLA money to develop a Web site and undertake other efforts to keep policymakers, journalists, educators and the general public abreast of the latest developments and issues in germ-line engineering. The American Association for the Advancement of Science has been using a Greenwall grant to study the "Ethical Implications of Human Germ-Line Intervention."

Recent grants suggest that Greenwall will likely venture increasingly into issues where the public policy implications of the research are greater and the clinical or bedside relevance less. In September 1997 the Foundation's Medical Advisory Committee agreed to give "particular attention" to projects with direct policy implications, especially those involving managed care and "the dominance of the bottom line in medical decision-making." The Harvard Community Health Plan, for example, received a Greenwall grant to study how managed care organizations and other insurers decide how far they will go in paying for patients' use of new technologies. University of Arizona bioethicists will assess the ethical issues involved in the refusal of many managed care companies to set their payments to hospitals high enough to cover the cost of the hospitals' clinical research.

The Foundation also appears ready to increase its efforts to educate the public on bioethical dilemmas. A recent grant to Duke University will finance a series of thirteen one-hour radio broadcasts by an experienced Duke bioethicist on the quandaries growing out of new science and technology. The goal is not only to have the series broadcast on public radio but also to have it available to hospital ethics committees, medical schools and community groups. Georgetown University is using Greenwall funds

to develop a bioethics curriculum for secondary school students. A grant to a television production company supports production of a two-hour documentary using the real-life problems of a group of individuals and families to illustrate the difficult choices the country must face in trying to provide better health care for all.

In funding bioethical studies, the Foundation hasn't entirely abandoned its earlier interest in other medical research. Small recent grants have maintained the Foundation's interest in searching for prevention or a cure for insulin-dependent diabetes mellitus. Bone cancer research is no longer funded, however, and geriatrics remains a Foundation interest chiefly as part of one bioethical project or another.

Particularly active in shaping current bioethical policies have been three board members: Cassel, Columbia University law professor Harvey J Goldschmid, and psychiatrist/lawyer Dr Joseph G Perpich, vice president of the Howard Hughes Medical Institute. They serve on the Medical Advisory Committee along with veteran board members Cahill, Salzer, Vaun and Stamas. In 1999, two more physician/ethicists were elected to the Board: Dr Troyen A Brennan of Harvard and Dr James A Tulskey of Duke. They too will serve on the Medical Advisory Committee.

Bioethicists who have received Greenwall grants say the Foundation not merely provides money but also works with applicants to improve their projects and occasionally even suggests that grantees probably will need more time and money than they are asking. And, they stress, the fact that Greenwall puts money into a project frequently makes it easier to get money from other foundations or government agencies.

Again and again, bioethicists emphasize how absolutely critical the Greenwall support has been. Says Dr Stuart J Youngner, professor of Medicine, Psychiatry and Biomedical Ethics at Case Western Reserve University: "Greenwall is willing to finance things out of the ordinary, things that are controversial. If you think bioethics is a worthwhile field, then you have to recognize that Greenwall has been a major factor, if not the major factor, in promoting and strengthening the field." Agrees Barbara A Koenig, director of the Stanford Center: "I see The Greenwall Foundation as having pioneered and being responsible for bioethics funding becoming part of other foundations' portfolios."

In 1996, a panel of three experienced bioethicists reviewed the first five years of Greenwall involvement in bioethics, and concluded: "We view The Greenwall Foundation as a precious resource. No other foundation

has a long-term commitment to bioethics research or the successful record of supporting innovative, significant work on difficult issues." Events since the panel's report have served only to reinforce its conclusion.

### *The Arts Program Takes Shape*

Over the past ten to twelve years, the Foundation has been carving out for itself a role in the arts area almost as unique as in bioethics: helping "emerging" artists and "emerging" arts organizations. "Innovation and creativity in the visual, performing and literary arts receive special Foundation attention," the Foundation grants guidelines declare. "The Greenwall Foundation is interested in fostering the growth of New York City as a cultural center and encourages requests from local arts organizations, libraries and museums. The Foundation is interested in encouraging emerging artists and the development of new artistic works."

Greenwall, however, constantly reviews just what constitutes "emerging." It has never set age, income or other limits, but certainly its definition of emerging doesn't necessarily mean young or just starting. Most often "emerging" seems to mean an artist or arts group breaking out or just about to break out to a new level of achievement. It could be an older organization nurturing younger artists or doing something new and different itself, or one that really has been doing fine work but has never managed to get proper recognition. Clearly the Foundation's view of the arts covers not just theater, music, dance, film and literature but multimedia and just about any other type of artistic endeavor that anyone might undertake.

Continuing the trend that began developing in the late 1980s, the emphasis in the grants of the past decade has shifted away from a small number of relatively large donations to long-established major arts organizations; instead there are dozens of smaller grants to struggling artists and arts groups.

The list of organizations and individuals receiving Greenwall grants now reads like a Who's Who of the Off-Broadway and Off-Off-Broadway theater, and much the same holds true for dance groups, art galleries and other arts enterprises. In 1998, for example, the list ran the alphabet from AbacusParts, a Brooklyn group seeking to stage a multi-media production, to the X Art Foundation, to support its Web site and publication of *Blast*, an irregularly-appearing portfolio of various types of artistic works.

Alphabetically in-between are such organizations as The Academy of American Poets, the Annie-B Parson/Big Dance Theater Company, Ballet Hispanico of New York, the Bronx Museum of the Arts, the Gertrude Stein Repertory Theatre, the International Festival of Puppet Theater, The New York Consortium for New Music ("to support the 1998 Sonic Boom festival") and Performance Space 122. Also included are the musical group Eos, the Mad Alex Arts Foundation (to support readings by poets and writers), the Ontological-Hysteric Theater, WNET, the Socrates Sculpture Park in Long Island City, and a group called Todo Con Nada.

The Theater for a New Audience, an Off-Broadway theater specializing in Shakespeare and other classical drama, received \$15,000 to continue a program of workshops at which emerging and mid-career directors receive experience directing groups of actors in selected scenes from Shakespeare. They learn under the tutelage of a Royal Shakespeare Company coach, and at the end of each workshop the scenes are performed for an invited audience.

Recently the Foundation decided to make a small number of multi-year grants to groups showing particular promise. It approached several young theater companies whose success had been demonstrated and suggested they come up with a three-year plan to finance the kind of administrative structure their artistic growth required. Then it awarded larger-than-usual grants of \$20,000 to \$25,000 a year for three years to each of four groups.

Typical is the experience of Manhattan Class Company, a small group founded in 1981 to conduct acting classes and develop plays through workshop performances. A highly successful 1995-96 season, with a play called *Nixon's Nixon*, had paradoxically strained its organization; everyone was exhausted. The new Greenwall grant has allowed the company to expand its office staff, extend the use of a literary manager from one day to two days a week and provide him with an assistant, pay artists' fees, buy a computer to help with a new outreach program, and improve the group's printed material. In 1998 the company came up with another hit, Margaret Edson's play *Wit*. "The Foundation's belief in the company and what we strive to do in the theater...gave us the courage to go forth...to transform our free-floating ideas into words, into a plan, and into action," Manhattan Class wrote the Foundation.

The other three groups with long-term Greenwall aid tell similar stories. The Foundry Theater, INC, a relatively new company that develops

and produces original plays and conducts theater seminars, hired a full-time administrative assistant and a part-time development director. The Builders Association, an experimental multi-media company, used half its grant as seed money for new projects and the other half to hire an administrator/money raiser. Primary Stages Company's grant has gone to a new marketing system, including a marketing director.

Projects seeking to expand on to the Internet have found the Foundation receptive. In 1998, it gave \$25,000 a year for three years to Bang on a Can, a group devoted to boundary-crossing contemporary music that embraces classical, rock, jazz and electronic forms. The group will create a Web site featuring both live music and art and showcasing its own annual music festival.

#### *Arts Grantees Are Prizewinners*

Many recipients of Greenwall arts grants have gone on to win prizes, awards and other recognition. The Manhattan Class Company's play, *Wit*, won a Pulitzer prize and was named best new play of the season by the New York Drama Critics' Circle. Greenwall grantees score high each year in the OBIES awarded for outstanding Off-Broadway theater; one year they captured 20 of the 34 awards.

David Isay's *The Sunshine Hotel*, a 25-minute radio documentary that Greenwall helped finance, has been one of the most popular programs ever broadcast on public radio. It matter-of-factly tells the stories of alcoholics, drug addicts and other homeless men who inhabit one of the last remaining Bowery flophouses, where beds in 4 by 6 foot cubicles rent for anywhere from \$4.50 to \$10 a night. Documentary filmmaker Macky Alston won a Sundance Film Festival award for *Family Name*, the story of three present-day families, one white and two African-American, who share the same last name, descendants of North Carolina slave-owners and the slaves who took the name of their owners. Another Sundance winner was Julia Loktev for *Moment of Impact*, a documentary portrait of her father and mother and their relationship with her and with each other both before and after he was hit by an automobile and suffered severe brain damage.

One indication of the Foundation's unusually imaginative approach to the arts has been the annual commissioning of an innovative work of art in honor of Chairman Emeritus Ruebhausen. The first award, in 1992,

went to choreographer John Kelly, the second to playwright Jacquelyn Reingold, the third to sculptor James Cathcart and the fourth to Nadja, a small press, for a limited edition book of a W S Merwin poem, with paintings by Mark Schwartz. The Ice Theatre of New York, which has been developing ice dancing as an art form, was given commissioning funds for a new work by noted choreographer Lar Lubovich. The following year six young writers and photographers were commissioned to produce work on the theme "New York: A Divided City" for New York University's Center for Advanced International Studies. Most recently, sculptor Ron Baron created an installation of Nova Scotian lobster buoys off a Hudson River pier in lower Manhattan; mounted on old pilings, the bird-like forms appear to rise and fall as the tide moves in and out.

The Foundation's grants over recent years have given it a reputation in the arts world as a place to approach with truly innovative or even off-beat work. "A Greenwall grant is a small Good Housekeeping seal," former board member Kresky believes. "A theater or dance group can use it to get more money from other places." Says radio documentary producer Isay: "They seem to fund funky projects. Greenwall gives struggling nonprofits a chance to see their vision through. They help out-of-the-loop artists doing interesting things in New York City. It takes special vision and courage to fund things like this. Very few foundations are willing to take chances on an unusual project."

In the past few years new directors have been named to the Foundation's Arts and Humanities Advisory Committee to join long-standing committee member Stamas, a former chairman of the New York Philharmonic-Symphony Society. The relative newcomers include John E Craig, JR, executive vice president and treasurer of the Commonwealth Fund, essayist/commentator Roger Rosenblatt, and committee chair Perpich. They and other Greenwall directors well know that giving grants to emerging artists is essentially a high-risk endeavor — but they obviously believe that the program's many successes thus far more than offset the occasional failures.

### *Education Finally Finds Its Focus*

Over the years, the Foundation's education program had been the one having the most difficulty finding its focus, but in the 1990s this, too, finally began to change. In the late 1980s, the Board had indicated a desire

to help the floundering New York City school system, but politics and other problems plaguing the system made this difficult, and after one or two attempts, the Foundation gave up. In the mid- and late-eighties the Board concentrated on programs offering financial help or special academic training to qualified needy minority and other "disadvantaged" students.

PREP (for Pre-Med Research and Education Program) was a Greenwall-supported program giving special educational help to gifted minority students hoping to become doctors or other professionals. The Polytechnic Institute was awarded grants to create a Youth in Engineering and Science (YES) Center where poor but gifted high school students, mostly minority youths, worked summers getting research experience with Poly faculty members. A later favored program was Prep for Prep, offering extra academic training to talented black and Hispanic students so they might qualify for scholarships at independent schools.

At its 1991 board meeting and in its annual report for that year, the Foundation appeared ready to continue this emphasis, revising its guidelines on education grants to put specific stress on aid to gifted minority and/or disadvantaged students. Soon after, though, the Foundation changed emphasis again, and gradually over the early nineties, the new thrust took shape: programs to improve the teaching skills of public school teachers of math and science as the surest way to help students increase their grasp of those vital subjects. (Recall Frank Greenwall's firm conviction in the importance of science and math for business-world success.) In 1996, the Foundation's grant guidelines were revised once again to make it plain that improving math and science teaching was now the main goal in the education area.

"Many of today's challenges require information, knowledge and skills derived from a strong scientific, mathematical and technological base," the guidelines now declare. "For students to master these skills, it is first necessary that their teachers learn how better to guide them in the process.

"The Foundation seeks to assist organizations and institutions that give teachers strategies and support systems as well as content knowledge, enabling them to teach mathematics and science confidently and in ways that will help their students to learn and succeed."

More and more, the education grants have grouped around this core. One Greenwall grant supported production of a videotape series featuring

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exemplary New York City math teachers doing classroom teaching. A repeatedly-renewed Greenwall program allows high school and middle school science teachers to gain hands-on laboratory experience by assisting Columbia University faculty members with their scientific research projects during the summer. Preliminary evaluations suggest that these teachers do in fact take their new knowledge back to their classrooms and that the scores of their students rise more than the scores of students taught by other teachers.

The Salvadori "built environment" program, a Greenwall favorite, uses architecture as a hook to get students interested in math and science, an approach developed almost 15 years ago by Mario Salvadori, a professor of civil engineering at Columbia University. The idea is to have middle school students learn basic facts about measurements, angles, weight-loads, pressure and other math and science concepts by studying structures in their everyday environment, and then building similar structures to figure out how they were put together and work. Students might build a scale model of a famous skyscraper, lay out a model school playground or duplicate with toothpicks a nearby bridge. Teachers from inner city middle schools learn the approach and methods at the Salvadori Center during the summer and at workshops year-round. Young architects from the Center visit the teachers' schools once a week to help them apply what they have learned. More than 25 schools have taken or are taking part in the built-environment approach.

Since 1993, a Greenwall-funded City College program recruits engineers, computer programmers and other business people who want to change careers and trains them to become middle-school math teachers. A program run by the City Parks Foundation gives elementary school teachers experience in the city's remaining woodlands – Van Cortlandt Park and other city parks – and helps them put their new found knowledge of botany and forestry to use as part of their classroom teaching. Taking advantage of science-rich institutions in the city, the Foundation has financed several programs where teachers and students learn science and technology on-site from staff scientists at the New York Botanical Gardens, the Brooklyn Botanic Gardens, the Bronx Zoo and other institutions.

The Foundation's education program has also been moving in step with new scientific developments. A recent grant to the Mount Sinai School of Medicine will help support a DNA Learning Center Project that

will establish DNA labs and provide teacher training in a number of city high schools and junior highs.

The Foundation has also been alert to the fact that any teaching today inevitably involves the Internet and other new technology. A current Greenwall grant will allow classes of specially-trained teachers to use two-way video-conferencing technology to make virtual "visits" to various parts of the New York Hall of Science. Museum staffers will guide students through an interactive tour of the Hall's exhibits. In another recent program, an organization called Teaching Matters trains middle school teachers to create projects that require students to collect, share and analyze current Internet data on such natural phenomena as earthquakes or weather patterns. Teachers receive regular workshops and intensive summer institutes plus e-mail and other support.

Two directors who joined the Board in 1997 and were appointed to the Education Advisory Committee, joining Bugliarello and Menges there, have greatly strengthened the committee's focus on teacher training and development. The two are Matina S Horner, executive vice president of TIAA-CREF and former president of Radcliffe College, and Ellen Condliffe Lagemann, director of New York University's Center for the Study of American Culture and Education.

In fact, one of the undoubted reasons for The Greenwall Foundation's high standing in the foundation world has been the striking qualifications of its board members and their willingness to devote time and energy to the Foundation's missions. Moreover, they all seem genuinely to like and respect each other, creating what former board chairman Stamas sees as "the Board's highly collegial nature, with a group dynamic uncommon in either foundation or university settings."

To help foster this collegial feeling, board agendas during Stubing's tenure have regularly included a seminar providing the directors with an opportunity to focus on some aspect of the Foundation's work. In the fall of 1997, for example, board member Rosenblatt led a discussion of the question, "Why Write?" In the spring of 1998, board member Goldschmid tackled "The Role and Responsibilities of Trustees in Not-for-Profit Organizations," including foundations and hospitals, and at the Board's fall 1998 meeting, board member Perpich used "From Dreams to DNA" as the title for a wide-ranging survey of new discoveries about the workings of the human brain and the awesome implications of these discoveries.

*Will the Future Be More of the Same?*

Over the decade of the nineties, Greenwall's medical grants grew from the \$743,188 authorized in 1990, entirely for diabetes research, to \$3,432,219 authorized in 1998, predominantly for bioethics. About 54% of recent budgets have provided for the medical program, while the education program and the arts and humanities program each received about 23% of the total.

In the past few years, the Foundation has often been able to line up other small foundations to join in helping on particular projects, particularly bioethics programs requiring large amounts of money. The Foundation has also learned over the years that a Greenwall grant often enables grantees to obtain additional financing from other foundations, government agencies or corporations. A letter from the leading diabetes researcher at the University of Texas Southwestern Medical Center at Dallas reported that a Greenwall grant of several hundred thousand dollars for diabetes research had "eventually produced about eight million dollars in additional funds and allowed the establishment of what I (modestly) believe is one of the best molecular research units devoted to diabetes in the world."

Referring to the \$300,000 he received from the Foundation for his "empiricized bioethics" project, the University of Pennsylvania's Arthur Caplan observed that "few Greenwall grants have been so leveraged." As a result of the Greenwall grant, he says, the Center was able to raise another \$1.5 million from the National Institutes of Health and another foundation. In March 1995, the Foundation gave \$21,000 to the New York State Task Force on Life and the Law to help tide it over a period of legislative budget cuts. The Greenwall grant gave the Task Force time to raise well over \$1 million from other foundations to continue its work.

In other program areas, Greenwall grants have been similarly leveraged. A \$10,000 development grant for a film project, *The United States of Poetry*, helped the filmmakers "take the project to the next level, from the theoretical to the tangible," according to the executive producer. The filmmakers were able to demonstrate that the project could indeed make for interesting television, and they secured close to \$1 million to create four half-hour TV programs for the Public Broadcasting System.

At the moment, there seems to be little disposition in the Foundation to venture into broad new program areas. Though the Foundation is far

richer today than 50 years ago, the president and directors are being careful not to spread their efforts too thin.

In many ways, it is appropriate that The Greenwall Foundation should be celebrating its 50TH anniversary as the 20TH century comes to a close. The Foundation has set a course to deal with the problems and opportunities of a new century, yet its path is completely true to the vision and dreams of its remarkable founders. The Greenwalls provided the money, the inspiration and the goals, and their successors at the Foundation's helm have walked sure-footedly in those directions.

In 1985, after Frank Greenwall's death, the Foundation Board set up a special committee to consider what might constitute a fitting memorial to its founder. Months later, the group reported back to the Board that "after many meetings and much discussion, the committee decided that the ongoing work of the Foundation was in itself a fitting memorial to Mr Greenwall." And, the board minutes say, all board members present agreed that this was the right and proper decision.

*Directors*  
1999

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Francis M Greenwall  
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Robert J McMinn, *Grants Administrator*  
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Nancy G (Leven) MacGrath  
1980  
Frank K Greenwall  
1980 - 1985  
John L Dugan, JR  
1986 - 1989  
William C Stubing  
1990 -

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Frank K Greenwall  
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Oscar M Ruebhausen  
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Francis (MacGrath) Greenwall  
Susan A T MacGrath

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Oscar M Ruebhausen  
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George F Cahill, JR  
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Stephen Stamas  
1996 - 1999  
Christine K Cassel  
1999 -

Richard L Salzer  
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