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Form 990-PF

Return of Private Foundation or Section 4947(a)(1) Nonexempt Charitable Trust Treated as a Private Foundation

OMB No 1545-0052

2009

Department of the Treasury Internal Revenue Service Note. The foundation may be able to use a copy of this return to satisfy state reporting requirements For calendar year 2009, or tax year beginning 2009, and ending Final return G Check all that apply Initial return Initial Return of a former public charity Amended return Address change Name change Employer Identification number Use the GOTTLIEB - SCHWARTZ FAMILY FOUNDATION 13-3794021 IRS label. 724 COLLFIELD Otherwise. Telephone number (see the instructions) AVE B print or type. STATEN ISLAND, NY 10314 See Specific C If exemption application is pending, check here Instructions D 1 Foreign organizations, check here 2 Foreign organizations meeting the 85% test, check Check type of organization X Section 501(c)(3) exempt private foundation here and attach computation Section 4947(a)(1) nonexempt charitable trust Other taxable private foundation Ε If private foundation status was terminated Fair market value of all assets at end of year Accounting method: X Cash under section 507(b)(1)(A), check here (from Part II, column (c), line 16) Other (specify) If the foundation is in a 60-month termination (Part I, column (d) must be on cash basis) under section 507(b)(1)(B), check here ► S 217,614. Analysis of Revenue and Part I (c) Adjusted net (d) Disbursements (a) Revenue and (b) Net investment Expenses (The total of amounts in expenses per books income income for charitable columns (b), (c), and (d) may not necespurposes sarıly equal the amounts ın column (a) (cash basis only) (see the instructions)) 40,000 Contributions, gifts, grants, etc, received (att sch) If the foundn is not req to att Sch B Interest on savings and temporary N/A cash investments 3,494 3.494 Dividends and interest from securities 5 a Gross rents b Net rental income or (loss) -16,888 6 a Net gain/(loss) from sale of assets not on line 10 b Gross sales price for all assets on line 6a 49,988. 0. Capital gain net income (from Part IV, line 2) Net short-term capital gain Income modifications 10 a Gross sales less returns and allowances b Less Cost of c Gross profit/(loss) (att sch) 11 Other income (attach schedule). Total. Add lines 1 through 11 26,606 3,494 Compensation of officers, directors, trustees, etc 14 Other employee salaries and wages 15 Pension plans, employee benefits 16 a Legal fees (attach schedule) ADMINISTRAT **b** Accounting fees (attach sch) c Other prof fees (attach sch) Interest က် 252. 252. See Stm 1 18 Taxes (attach schedule)(see instr.) 19 Depreciation (attach sch) and depletion OGDEN 20 Occupancy Travel, conferences, and meetings 21 22 Printing and publications. 23 Other expenses (attach schedule) See Statement 2 267 267. Total operating and administrative expenses. Add lines 13 through 23 24 519 519 44,500. Contributions, gifts, grants paid Part XV 44,500 Total expenses and disbursements. 44,500. 519 45,019 Add lines 24 and 25 Subtract line 26 from line 12: a Excess of revenue over expenses -18,413. and disbursements 2,975

b Net investment income (if negative, enter -0-)

C Adjusted net income (if negative, enter -0-)

D 4	** "	Balance Sheets Attached schedules and amounts in the description column should be for end-of year amounts only	Beginning of year		End of	í year
ran	# 1	Balance Sheets (See instructions)	(a) Book Value	(b) Book Valu	ie	(c) Fair Market Value
	1	Cash — non-interest-bearing				
	2	Savings and temporary cash investments	23,204.	67,5	81.	67,580.
	3	Accounts receivable			1	
		Less: allowance for doubtful accounts ▶				
	4	Pledges receivable	1		Ŧ	
		Less: allowance for doubtful accounts ▶			\longrightarrow	
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see the instructions)				
	7	Other notes and loans receivable (attach sch).			#	
Š		Less' allowance for doubtful accounts				
S	8	Inventories for sale or use				
A S S E T S	9	Prepaid expenses and deferred charges			\longrightarrow	
S	10 a	Investments – U.S. and state government obligations (attach schedule)				
		Investments — corporate stock (attach schedule)				44.530
	c	: Investments — corporate bonds (attach schedule) Statement 3	75,000.	15,0	00.	14,578.
	11	Investments – land, buildings, and equipment basis				
		Less accumulated depreciation (attach schedule)				
	12	Investments – mortgage loans				
	13	Investments — other (attach schedule) Statement 4	180,607.	177,8	17.	135,456.
	14	Land, buildings, and equipment basis ►			ŧ	:
		Less accumulated depreciation (attach schedule)				
		Other assets (describe Total assets (to be completed by all filers — see instructions. Also, see page 1, item !)	278,811.	260,3	98.	217,614.
Ļ	17	Accounts payable and accrued expenses				:
Å	18	Grants payable				!
В	19	Deferred revenue				
Ļ	20	Loans from officers, directors, trustees, & other disqualified persons				
Ť	21	Mortgages and other notes payable (attach schedule)			[
1	22	Other liabilities (describe			─ ┤	:
E S	23	Total liabilities (add lines 17 through 22)	0.		0.	
 -		Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.				
N F	24	Unrestricted	278,811.	260,3	98.	
ΤN	25	Temporarily restricted				
A D	26	· · · · · · · · · · · · · · · · · · ·				!
A S S A E L T A		Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.				: :
E L T A S N	27	Capital stock, trust principal, or current funds				
SNC	28	Paid-in or capital surplus, or land, building, and equipment fund			[
O E	29	Retained earnings, accumulated income, endowment, or other funds.	250			· ·
R S	30	Total net assets or fund balances (see the instructions)	278,811.	260,3	98.	
	31	Total liabilities and net assets/fund balances (see the instructions)	398.			
Part	III .	Analysis of Changes in Net Assets or Fund Balanc	es			
		I net assets or fund balances at beginning of year – Part II, colun of-year figure reported on prior year's return)	nn (a), line 30 (must agre	ee with	1	278,811.
		r amount from Part I, line 27a			2	-18,413.
3	Other	increases not included in line 2 (itemize)			3	
4	Add	lines 1, 2, and 3	_		4	260,398.
		ases not included in line 2 (itemize)			5	
6	Total	net assets or fund balances at end of year (line 4 minus line 5) -	- Part II, column (b), line	e 30	6	260,398.

(a) List and describe 2-story brick warehous	the kind(s) of proper	ty sold (e g , rea	l estate,	(b) How ac P — Purc D — Dona	hase	(C) Date acquired (month, day, year)	(d) Date sold (month, day, year
1a SEE SCHEDULE ATTACH	P		Various	Various			
b		·	<u></u>				
c							
d							
<u>e</u>			 -				
(e) Gross sales price	(f) Depreciation (or allowab		(g) Cost or other bar plus expense of s			(h) Gain or (e) plus (f) m	(loss) ınus (g)
a 49,988.				56,876.			-16,888
b							
С							
d							
е		L.				<u>-</u>	
Complete only for assets showing						(I) Gains (Colu	
(i) Fair Market Value as of 12/31/69	(j) Adjusted as of 12/31		(k) Excess of column over column (j), if			gain minus column (k nan -0-) or Losses (fr	
а							-16,888
b							
С							
d							
e							
2 Capital gain net income or (net	capital loss)	If gain, also e	nter in Part I, line 7 -0- in Part I, line 7	_	2		-16,888
3 Net short-term capital gain or (lo	oss) as defined in sect	опs 1222(5) and	I (6):	'			
If gain, also enter in Part I, line			_				
in Part I, line 8	8, column (c) (see the	instructions). 11	(loss), eriter -u-	_	3		0
Part V Qualification Under	Section 4940(e)	for Reduced	Tax on Net Investn	ent Inco	me		
Vas the foundation liable for the section f 'Yes,' the foundation does not qualiful 1 Enter the appropriate amount in	y under section 4940(e). Do not compl	ete this part			∐Yes	X No
(a)	(b)	r year, see the in	(c)	driy criaics		(d)	
Base period years Calendar year (or tax year beginning in)	Adjusted qualifying	distributions	Net value of noncharitable-use as	ssets	(col	Distribution lumn (b) divided	
2008	··	91,500.	2.	75,004.			0.33272
2007		76,180.		32,491.			0.19916
2006	-	116,800.		19,653.			0.97615
2005				1,664.			
2004		55,999.		1,625.			34.46092
		•					
2 Total of line 1, column (d)					2		35.96896
Average distribution ratio for the number of years the foundation	5-year base period –	divide the total of	on line 2 by 5, or by the		3		7.19379
•		ious than o ye			4	-	
4 Enter the net value of noncharita	able-use assets for 200	00 6 0 - 1 1/2 1	6			I .	
		09 from Part X, I	ine 5				167,133
5 Multiply line 4 by line 3		09 from Part X, I	ine 5		5	1	167,133
Multiply line 4 by line 3Enter 1% of net investment income			ine 5			1	167,133 1,202,320
			ine 5		5		167,133 1,202,320 30
6 Enter 1% of net investment inco	ome (1% of Part I, line		ine 5		5		167,133 1,202,320 30 1,202,350 44,500
6 Enter 1% of net investment inco 7 Add lines 5 and 6	ome (1% of Part I, line m Part XII, line 4	27b)		art using a	5 6 7 8	1	167,133 1,202,320 30 1,202,350

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Parl	VI ' Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see the instru	ctions)		
1 a	Exempt operating foundations described in section 4940(d)(2), check here			
	Date of ruling or determination letter: (attach copy of letter if necessary - see instr.)			
b	Domestic foundations that meet the section 4940(e) requirements in Part V,			60.
	check here ► and enter 1% of Part I, line 27b			
C	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, column (b) .			
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable			
_	foundations only. Other's enter -0-)			<u>0.</u>
3	Add lines 1 and 2			60.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			0.
5	Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-			60.
6	Credits/Payments:			
а	2009 estimated tax pmts and 2008 overpayment credited to 2009			
	Exempt foreign organizations – tax withheld at source			
С	Tax paid with application for extension of time to file (Form 8868)			
d	Backup withholding erroneously withheld			
7	Total credits and payments. Add lines 6a through 6d.			<u>0.</u>
8	Enter any penalty for underpayment of estimated tax. Check here if Form 2220 is attached 8			
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed			60.
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid			
11	Enter the amount of line 10 to be Credited to 2010 estimated tax			
Parl	VII-A Statements Regarding Activities			
1 a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a	Yes	No X
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)?	1 b		Х
	If the answer is 'Yes' to 1a or 1b, attach a detailed description of the activities and copies of any materials published			
	or distributed by the foundation in connection with the activities	1 c		Х
C	Did the foundation file Form 1120-POL for this year? Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year.			
	(1) On the foundation \Rightarrow \$ 0. (2) On foundation managers \Rightarrow \$ 0.			
е	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on	7		
	foundation managers • \$ 0.			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? If 'Yes,' attach a detailed description of the activities	2	_	X
2	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles			
3	of incorporation, or bylaws, or other similar instruments? If 'Yes,' attach a conformed copy of the changes	3		X
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a		X
b	If 'Yes,' has it filed a tax return on Form 990-T for this year?	4b	N	/A
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year?	5		X
	If 'Yes,' attach the statement required by General Instruction T			
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either. • By language in the governing instrument, or			
	By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Х	
7	Did the foundation have at least \$5,000 in assets at any time during the year? If 'Yes,' complete Part II, column (c), and Part XV	7	X	
	Enter the states to which the foundation reports or with which it is registered (see the instructions)			
	NY			
b	olf the answer is 'Yes' to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by <i>General Instruction G? If 'No,' attach explanation</i>	8b	Х	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2009 or the taxable year beginning in 2009 (see instructions for Part XIV)? If 'Yes,' complete Part XIV	9		<u>X</u>
10	Did any persons become substantial contributors during the tax year? If 'Yes,' attach a schedule listing their names and addresses	10		X
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Part VII-A Statements Regarding Activities Continued				
At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes', attach schedule (see instructions)		11		Х
12 Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?		12		Х
13 Did the foundation comply with the public inspection requirements for its annual returns and exempt	ion application?	13	Х	
Website address ► N/A	none no. ► 718-5	85-2	853	
Located at > 724 COLLFIELD AVE, STATEN ISLAND, NY ZIP +		92 2.	933.	
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 — Check her		$-\bar{N}/\bar{A}$		<u> </u>
and enter the amount of tax-exempt interest received or accrued during the year	▶ 15	**/ **		N/A
Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required				
File Form 4720 if any item is checked in the 'Yes' column, unless an exception applies.		T	Yes	No
1a During the year did the foundation (either directly or indirectly).				
	Yes X No			
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	Lies Vido			
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	Yes X No			
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	Yes X No			
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	Yes X No			
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	Yes X No			
(6) Agree to pay money or property to a government official? (Exception. Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	Yes X No			
b If any answer is 'Yes' to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see the instruction	n ctions)?	1 b	N	<u>/A</u>
Organizations relying on a current notice regarding disaster assistance check here	▶ []			
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted ac that were not corrected before the first day of the tax year beginning in 2009?	ts,	1c		X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):				
a At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009?	Yes XNo			
If 'Yes,' list the years ► 20 , 20 , 20 , 20				
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 49 (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 494)	42(a)(2) -2(a)(2) to			
all years listed, answer 'No' and attach statement — see the instructions.)		2b	N	<u>/A</u>
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years ▶ 20 , 20_ , 20_ , 20	s here.			
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	Yes X No			
b If 'Yes,' did it have excess business holdings in 2009 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approby the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, o (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009).	on ved r	3ь	N	/A
4a Did the foundation invest during the year any amount in a manner that would jeopardize its		As		
charitable purposes?		4a		<u>X</u>
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of				v
the tax year beginning in 2009?		4b		<u>X</u>
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Part VII-B Statements Regarding Activit		n 4/20 May Be Red	uirea (continuea)		
 5a During the year did the foundation pay or incur (1) Carry on propaganda, or otherwise attemp 	-	n (section 4945(e))?	☐ Yes [X]	No	
(2) Influence the outcome of any specific publ on, directly or indirectly, any voter registra	ic election (see section		☐ Yes 🗓	No	
(3) Provide a grant to an individual for travel,		ourposes?		No	
(4) Provide a grant to an organization other the in section 509(a)(1), (2), or (3), or section (4)	No				
(5) Provide for any purpose other than religious educational purposes, or for the prevention	us, charitable, scientific n of cruelty to children o	, literary, or or animals?	Yes X	No	
b If any answer is 'Yes' to 5a(1)-(5), did any of the described in Regulations section 53.4945 or in (see instructions)?	ne transactions fail to q a current notice regard	ualify under the exception	ons	5b	N/A
Organizations relying on a current notice regar	ding disaster assistanc	e check here	▶ [
c If the answer is 'Yes' to question 5a(4), does the tax because it maintained expenditure responsing the Yes,' attach the statement required by Regulation.	ability for the grant?		N/A Yes	No	
6a Did the foundation, during the year, receive an on a personal benefit contract?	y funds, directly or indi	rectly, to pay premiums	Yes X	No	
b Did the foundation, during the year, pay premit If 'Yes' to 6b, file Form 8870	ums, directly or indirect	tly, on a personal benefi	t contract?	6b	<u>X</u> _
7a At any time during the tax year, was the found	ation a party to a probil	hited tay shelter transac	tion? Yes X	No	
b If yes, did the foundation receive any proceeds				7b	N/A
Part VIII Information About Officers, D	irectors. Trustees	. Foundation Mana	gers. Highly Paid		
and Contractors		,	.go.c,g,	,	
1 List all officers, directors, trustees, foundation	managers and their co	ompensation (see instru	ctions).		
(a) Name and address	(b) Title and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense other allo	
MICHAEL GOTTLIEB	President	0.	0.		0.
724 COLLFIELD AVE STATEN ISLAND, NY 10314	0				
STEVEN SCHWARTZ	Treasurer	0.	0.		0.
29 WALCOTT AVE STATEN ISLAND, NY 10314	0	0.	0.		0.
2 Compensation of five highest-paid employees	Cother than those inclu	uded on line 1 – see inst	ructions). If none, ente	r 'NONE.'	
(a) Name and address of each employee paid more than \$50,000	(b) Title and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense other allo	
None					
			<u> </u>		
Total number of other employees paid over \$50,000	TEE A0306L	07/06/09		Form 990	0 0-PF (2009)

Form 990-PF (2009) GOTTLIEB - SCHWARTZ FAMILY FOUNDATION 1: Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly and Contractors (continued)	3-3794021 Paid Emplo	Page 7 yees ,
3 Five highest-paid independent contractors for professional services – (see instructions). If none, enter 'NONE.'		
(a) Name and address of each person paid more than \$50,000 (b) Type of service	(c) Co	ompensation
None		•
		,
Total number of others receiving over \$50,000 for professional services	•	0
Part IX-A Summary of Direct Charitable Activities	· · · · · · · · · · · · · · · · · · ·	
List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	E	xpenses
1 <u>N/A</u>		
2		
3	·	
4		
Part IX-B Summary of Program-Related Investments (see instructions)		<u></u>
Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Т.	Amount
1 N/A		
2		
All other program-related investments. See instructions 3		
Total. Add lines 1 through 3 BAA	Form	0. 9 90-PF (2009)

Par	X Minimum Investment Return (All domestic foundations must complete this part. F see instructions.)	oreig	n foundations,
1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc, purposes:		142 261
	Average monthly fair market value of securities	1a	143,361.
	Average of monthly cash balances	1b	26,317.
	Fair market value of all other assets (see instructions)	1c	160 670
	Foots (add lines 1a, b, and c)	10	169,678.
•	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e 0.		
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	169,678.
			105,070.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	2,545.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	167,133.
6_	Minimum investment return. Enter 5% of line 5	6	8,357.
Par	TXI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operand certain foreign organizations check here ► ☐ and do not complete this part of the complete the complete this part of the complete th		foundations
1	Minimum investment return from Part X, line 6	1	8,357.
2 a	Tax on investment income for 2009 from Part VI, line 5		
b	Income tax for 2009. (This does not include the tax from Part VI)		
c	Add lines 2a and 2b	2 c	60.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	8,297.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	8,297.
6	Deduction from distributable amount (see instructions)	6	
7_	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	8,297.
Par	t XII Qualifying Distributions (see Instructions)	F3	
1 a	Amounts paid (including administrative expenses) to accomplish charitable, etc, purposes Expenses, contributions, gifts, etc — total from Part I, column (d), line 26	1a	44,500.
	Program-related investments – total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc, purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the. Suitability test (prior IRS approval required)	3a	
	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	44,500.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	44,500.
O			
	Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating wheth qualifies for the section 4940(e) reduction of tax in those years.	er the	
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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				8,297.
2 Undistributed income, if any, as of the end of 2009:				······································
a Enter amount for 2008 only			0.	······
b Total for prior years 20, 20, 20		0.		
3 Excess distributions carryover, if any, to 2009			1	
a From 2004 55, 920.				
b From 2005 c From 2006 110,855.			<u>.</u>	
c From 2006 110,855. d From 2007 57,493.			1	
e From 2008 77, 906.			-	
f Total of lines 3a through e	302,174.			
4 Qualifying distributions for 2009 from Part	, , , , , , , , , , , , , , , , , , ,			***************************************
XII, line 4: ► \$ 44,500.			ł	
a Applied to 2008, but not more than line 2a			0.	
b Applied to undistributed income of prior years				
(Election required – see instructions)		0.		
c Treated as distributions out of corpus			<u> </u>	
(Election required - see instructions)	0.			
d Applied to 2009 distributable amount			:	8,297.
e Remaining amount distributed out of corpus	36,203.			^
5 Excess distributions carryover applied to 2009. (If an amount appears in column (d), the	0.			0.
same amount must be shown in column (a))			i i	
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	338,377.		1	
, , ,	330,377.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistribut-			<u> </u>	
ed income for which a notice of deficiency			-	
has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable				
amount - see instructions		0.		
e Undistributed income for 2008 Subtract line 4a from				
line 2a Taxable amount — see instructions			0.	
f Undistributed income for 2009. Subtract lines				
4d and 5 from line 1. This amount must be				0.
distributed in 2010.				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed			1	
by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	0.		#	
•				
8 Excess distributions carryover from 2004 not applied on line 5 or line 7 (see instructions)	55,920.		1	
•				······································
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a.	282,457.			
10 Analysis of line 9:	·			
a Excess from 2005				
b Excess from 2006 110, 855.			1	
c Excess from 2007 57, 493.			‡	
d Excess from 2008 77, 906.			‡	
e Excess from 2009 36, 203.		l1	<u>_</u>	Form 990-PF (2009)

orm 990-PF (2009) GOTTLIEB - SCHWA				13-379402	
Part XIV Private Operating Foundati					N/A
1 a If the foundation has received a ruling or our is effective for 2009, enter the date of the	ietermination lettei ruling	r that it is a private i	operating foundation	, and the ruling	
b Check box to indicate whether the foundate	=	erating foundation d	lescribed in section	4942(j)(3) or	4942(J)(5)
2a Enter the lesser of the adjusted net	Tax year		Prior 3 years		
income from Part I or the minimum investment return from Part X for each year listed	(a) 2009	(b) 2008	(c) 2007	(d) 2006	(e) Total
b 85% of line 2a					
 Qualifying distributions from Part XII, line 4 for each year listed 					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon:					
a 'Assets' alternative test — enter	1	}			
(1) Value of all assets.					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b 'Endowment' alternative test — enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c 'Support' alternative test - enter:		İ			
 Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) 					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(III)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income				1.05.00	
Supplementary Information assets at any time during the	(Complete thi	s part only if th	e organization r	iad \$5,000 or mo	ore in
1 Information Regarding Foundation Manag a List any managers of the foundation who have close of any tax year (but only if they have See Statement 5	nave contributed more	than \$5,000). (See	section 50/(d)(2).)		
b List any managers of the foundation who ca partnership or other entity) of which the None	own 10% or more of foundation has a 1	of the stock of a corp 0% or greater intere	poration (or an equal est.	ly large portion of th	e ownership of
2 Information Regarding Contribution, Gran Check here ▶ X if the foundation only n requests for funds If the foundation make complete items 2a, b, c, and d.	nakes contributions s gifts, grants, etc,	s to preselected cha , (see instructions) t	ırıtable organizations o individuals or orga	nizations under othei	t unsolicited conditions,
a The name, address, and telephone number	er of the person to	whom applications :	should be addressed	•	
b The form in which applications should be s	submitted and infor	mation and materia	ls they should includ	e	
c Any submission deadlines					
e , my submission deadmiles					
d Any restrictions or limitations on awards, s	such as by geograp	phical areas, charita	ble fields, kinds of in	stitutions, or other fa	actors
		EEA0310L 07/06/09			orm 990-PF (200

BAA

Part XV | Supplementary Information (continued) 3 Grants and Contributions Paid During the Year or Approved for Future Payment If recipient is an individual, Foundation Recipient show any relationship to any foundation manager or substantial contributor Purpose of grant or contribution status of recipient Amount Name and address (home or business) a Paid during the year JEWISH FOUNDATION SCHOOL N/A N/A RELIGIOUS & 40,000. EDUCATIONAL 400 Caswell Ave ASSISTANCE Staten Island, NY 10314 EDUCATIONAL Rabbi Jacob Joseph School N/A N/A 4,500. 400 Caswell Avenue ASSISTANCE -SCHOOL STATEN ISLAND AVE, NY 10314 Total • За 44,500. **b** Approved for future payment \blacktriangleright 3ь Total

Page 12

	•		
		of Income-Producing	A
L1 Α₩ Υ Υ///\	Analyeie	At Income_Producing	Activities
ran Avea	Allalvois	or income-r roducing	ACUVILICS

Enter gross	s amounts unless otherwise indicated.	Unrelated	ousiness income	Excluded by	section 512, 513, or 514	
_	ram service revenue:	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	(e) Related or exempt function income (see the instructions)
•				Code		(See the manactions)
				 - - - - - - - - - -		
e						<u> </u>
f					 	
-	and contracts from government agencies	-				
	bership dues and assessments st on savings and temporary cash investments			- 	 .	
	ends and interest from securities		-	14	3,494.	
	ental income or (loss) from real estate					
a Debt-	financed property					
b Not d	lebt-financed property			<u> </u>		
	ntal income or (loss) from personal property					
	r investment income	ļļ.	<u> </u>	10	16 000	
	r (loss) from sales of assets other than inventory			18	-16,888.	
	ncome or (loss) from special events s profit or (loss) from sales of inventory			-	······	
	r revenue:					
	Tevenue.		.,			
				<u> </u>		
e					12 224	
	otal. Add columns (b), (d), and (e)	L			-13,394.	-13,394.
	I. Add line 12, columns (b), (d), and (e) sheet in the instructions for line 13 to verify ca	laulatiana X			13	-13,394.
				. =		
Part XVI	-B Relationship of Activities to the	e Accomplish	ment of Exem	pt Purpose	·S	
Line No.	Explain below how each activity for which in accomplishment of the foundation's exempt	come is reported	in column (e) of Pathan by providing fu	art XVI-A cont	ributed importantly to purposes) (See the	o the instructions.)
N/A	decemple and the real real real real real real real rea	purposes (surre				<u> </u>
N/A						
	<u> </u>					
	-				·· · · · · · · · · · · · · · · · · · ·	
						
				· 		
						
					• •	
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Form 990-PF (2009) GOTTLIEB - SCHWARTZ FAMILY FOUNDATION 13-3794021 Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable

سننا	<u></u>	Exempt	Organ	izations								•					
	1 Did th	e organization ibed in section	directly	or indirectly e	ngage in ar	ny of the follo	wing with (3) organiz	any o	ther o	rganız:	ation	 7,	•			Yes	No
	relatır	ng to political o	rganizatı	ons?					-			•					
		fers from the re	eporting	foundation to	a nonchari	table exempt	organizat	tion of:							1 (1)		v
	(1) 0													F	1a(1)		$\frac{X}{X}$
	• •	ther assets												ŀ	1a (2)		
		transactions	to a none	charitable eve	mnt organi	zation									1 b (1)	1	Х
(1) Sales of assets to a noncharitable exempt organization(2) Purchases of assets from a noncharitable exempt organization.													-	1b (2)		X	
		ental of facilitie			•	t organization	·	•						-	1b (3)		X
		eimbursement			1 433014									-	1b (4)		X
	` '	oans or loan gu	_												1 b (5)		X
	• •	erformance of			ip or fundra	aising solicita	itions								1b (6)		X
	c Shari	ng of facilities,	equipme	ent, mailing lis	ts, other as	sets, or paid	l employe	es.							1 c		X
	the go	answer to any oods, other ass ansaction or st	ets, or s	ervices given	by the repo	orting founda	tion. If the	found	lation	receiv	ed le:	ss than	faır ma	arket v	ket value alue in	e of	
(a) Line no	(b) Amount in	volved	(c) Name	of noncharitab	le exempt organ	ızatıon	(d) Desc	cription	of tran	sfers, tran	sactions	, and st	narıng arrar	ngement	s
N.	/A																
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	descr	foundation dire ibed in section s,' complete the	501(c) o	f the Code (of	ther than se	r related to, ection 501(c)(one or mo (3)) or in s	ore tax section	exem 527?	pt org	anıza	tions			Yes	s X	No
_		(a) Name of or	ganızatı	on	(b) Type of org	anızatıon				(c) Descri	ption c	of relat	ionship		
N	/A								<u> </u>								
_							-										
_																	
			1 /		1												
\neg				-////					<u> </u>		, , ,						
	complete	Ities of perjury, I decl Declaration of person	are toat I ha	than falpayer of fr	etum meluding etucary) is bas	ed on all informa	ition of which	prepare	er has a	ny knowl	ledge	chowledge a	and bene	i, it is tru	e, conect, a	ing .	
S	—	ature of officer of the		NA	<u> </u>			<u></u>	3 1	110		→					
S G N	Sign	ature of officer of the	ustee	/ /	<u> </u>			Da ^r				Title		Press	er's Identify	and num	her
HERE	Paid Pre-	Preparer's signature		eskel Mor					5/05	5/10		Check if self- employed	•	(See S	ignature in	the inst	rs)
E	parer's	Firm's name (or yours if self-		N. Fried								EIN ►	11	<u>-263</u>	2255		
	Use Only	employed), address, and		Fifteent		ıe								·			_
		ZIP code	Brool	klyn, NY	11219							Phone no		(718	3) 232		
BA	\A														Form 99	0-PF	(2009)

Schedule B (Form 990, 990-EZ, or 990-PF)

Department of the Treasury Internal Revenue Service

Schedule of Contributors

► Attach to Form 990, 990-EZ, or 990-PF

OMB No 1545-0047

2009

Name of the organization		Employer identification number
GOTTLIEB - SCHWARTZ FAMILY F	FOUNDATION	13-3794021
Organization type (check one)		
Filers of:	Section:	
Form 990 or 990-EZ	501(c)() (enter number) organization	
	4947(a)(1) nonexempt charitable trust not tr	eated as a private foundation
Form 990-PF	X 501(c)(3) exempt private foundation	
	4947(a)(1) nonexempt charitable trust treate	d as a private foundation
	501(c)(3) taxable private foundation	
Check if your organization is covered by the	General Rule or a Special Rule	
Note: Only a section 501(c)(7), (8), or (10) or	ganization can check boxes for both the General Ri	ule and a Special Rule. See instructions
General Rule –		
X For an organization filing Form 990, 990-E	EZ, or 990-PF that received, during the year, \$5,000) or more (in money or property) from any one
contributor (Complete Parts I and II)		
Special Rules –		
,	Form 990 or 990-EZ, that met the 33-1/3% support	test of the regulations under sections
509(a)(1)/170(b)(1)(A)(vi) and received from	om any one contributor, during the year, a contribut on (ii) Form 990-EZ, line 1. Complete Parts I and I	tion of the greater of (1) \$5,000 or (2) 2% of the
For a section 501(c)(7), (8), or (10) organ	nization filing Form 990 or 990-EZ, that received from	n any one contributor, during the year,
prevention of cruelty to children or anima	000 for use <i>exclusively</i> for religious, charitable, scie is Complete Parts I, II, and III.	Titlic, literary, or educational purposes, or the
For a section 501(c)(7), (8), or (10) organ	nization filing Form 990 or 990-EZ, that received fror ous, charitable, etc, purposes, but these contributio	n any one contributor, during the year,
this box is checked, enter here the total of	contributions that were received during the year for	an <i>exclusively</i> religious, charitable, etc,
purpose Do not complete any of the part religious, charitable, etc, contributions of	is unless the General Rule applies to this organizati	on because it received nonexclusively
3 , , ,		¥
990-PF) but it must answer 'No' on Part IV, II	by the General Rule and/or the Special Rules does ine 2 of their Form 990, or check the box on line H o ing requirements of Schedule B (Form 990, 990-EZ	of its Form 990-EZ, or on line 2 of its Form
BAA For Privacy Act and Paperwork Reductor Form 990, 990EZ, or 990-PF.	tion Act Notice, see the Instructions	Schedule B (Form 990, 990-EZ, or 990-PF) (2009
101 1 0/111 330, 33012, 01 330-1 1 .		

Schedule Name of org	B (Form 990, 990-EZ, or 990-PF) (2009)	Page	
_	IEB - SCHWARTZ FAMILY FOUNDATION		nployer identification number 3–3794021
Part I	Contributors (see instructions.)		
(a) Number	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	MICHAEL GOTTLIEB	\$ 40.0	Person X Payroll
	724 COLLFIELD AVE STATEN ISLAND, NY 10314	\$40,0	(Complete Part II if there is a noncash contribution)
(a) Number	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
		\$	Person Payroll Noncash (Complete Part II if there is a noncash contribution.)
(a) Number	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
		\$	Person Payroll Noncash (Complete Part II if there is a noncash contribution)
(a) Number	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
_		\$	Person Payroll Noncash (Complete Part II if there is a noncash contribution)
(a) Number	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
		\$.	Person Payroll Noncash (Complete Part II if there is a noncash contribution.)
(a) Number	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
		\$	Person Payroll Noncash (Complete Part II if there is a noncash contribution)

	(Form 990, 990-EZ, or 990-PF) (2009)	_	Page 1	L of	1 of Part II
lame of organ				I	
	CB - SCHWARTZ FAMILY FOUNDATION			13-3794	1021
Part II	Noncash Property (see instructions.)				
(a) No. from Part I	(b) Description of noncash property given		(c FMV (or e (see instr) estimate) ructions)	(d) Date received
	N/A				
		-			
		\$			
		-۲			
(a) No. from Part I	(b) Description of noncash property given		(c FMV (or e (see instr) estimate) ructions)	(d) Date received
		T			<u> </u>
		\$_			
(a) No. from Part I	(b) Description of noncash property given		(c) FMV (or e (see instr	ructions)	(d) Date received
		T			
					H.
		}			
		\$_			
(a) No. from Part I	(b) Description of noncash property given		(c) FMV (or e) (see instr	estimate) ructions)	(d) Date received
-		\vdash			
]			
		\$_			
(a) No. from Part I	(b) Description of noncash property given		FMV (or e	estimate)	(d) Date received
					-
]			
		\$_			
(a) No. from Part I	(b) Description of noncash property given		FMV (or e	estimate)	(d) Date received

TEEA0703L 06/23/09

Schedule **B** (Form 990, 990-EZ, or 990-PF) (2009)

BAA

COTTITER - SCHWARTT FAMILY FOUNDATION

Employer identification number

GOTTLIEB - SCHWARTZ FAMILI FOUNDATION	
Part III Exclusively religious, charitable, etc, indivi	dual contributions to section 501(c)(7), (8), or (10)
organizations aggregating more than \$1,00	O for the year. (Complete cols (a) through (e) and the following line entry)

(a)	contributions of \$1,000 or less for the year. (E	nter this information once – see	instructions) > \$ N/A
No. from	Purpose of gift	Use of gift	Description of how gift is held
Part I	N/A		
	N/A		
		(e)	
		Transfer of gift	
	Transferee's name, address,	, and ZIP + 4	Relationship of transferor to transferee
(2)	76	(0)	
(a) No. from	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
Part I			
			
		(e)	
		Transfer of gift	
	Transferee's name, address,	and ZIP +4	Relationship of transferor to transferee
ŀ			
(a) No. from	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
Part I	Tarposo or gine		
		(e) Transfer of gift	
	Transferee's name, address,		Relationship of transferor to transferee
	<u> </u>		
(a) No. from	(b)	(c)	(d)
Part I	Purpose of gift	Use of gift	Description of how gift is held
ļ			
ļ		(e)	
	Transferee's name, address,	Transfer of gift and ZIP + 4	Relationship of transferor to transferee
ļ			

009	Federal Statements	Page
lient GOTSCHWF	GOTTLIEB - SCHWARTZ FAMILY FOUNDATION	13-37940
/05/10 Statement 1 Form 990-PF, Part I, Line 18 Taxes		12:59F
FEDERAL TAX FOREIGN TAX NYS TAX	(a) (b) Net (c) Expenses per Books Investment Income Adjuste Net Income \$ 156. \$ 156. 46. 46. 50. 50. Total \$ 252.	(d) d Charitable me Purposes \$ 0.
Statement 2 Form 990-PF, Part I, Line 23 Other Expenses		
BANK FEES	(a) (b) Net (c) Expenses Investment Adjuste per Books Income Net Income \$ 267. \$ 267. Total \$ 267. \$ 267.	(d) ed Charitable me Purposes \$ 0
Statement 3 Form 990-PF, Part II, Line 10 Investments - Corporate Bo	lc nds	
Corporate Bonds	Valuation Book <u>Method</u> Value	Fair Market Value
BANK OF AMERICA	Mkt Val \$ 15,000 Total \$ 15,000	. \$ 14,578. . \$ 14,578.
Statement 4 Form 990-PF, Part II, Line 13 Investments - Other	3	
	Valuation Book <u>Method</u> Value	Fair Market Value
Other Publicly Traded : MUTUAL FUNDS- SEE STATE		. \$ 135,456.
MOTORE LONDO SEE STATE	Total \$ 177,817	

2009	Federal Statements
Client GOTSCHWF	GOTTLIEB - SCHWARTZ FAMILY FOUNDATION
5/05/10	
Statement 5 Form 990-PF, Part XV, Line Foundation Managers - 2%	1a or More Contributors
MICHAEL GOTTLIEB STEVEN SCHWARTZ	

Page 2

13-3794021 12 59PM

タチルフ ゴエ トナ TACHWE で Tiscal Statement

GOTTLIEB-SCHWARTZ FAMILY

FISCAL YEAR ACTIVITY

		REALIZED CAPITA	IZED CAPITAL GAIN AND LOSS SUMMARY	SUMMARY		
Quantity	Security Description	Date of Acquisition D	Date of Liquidation	Sale Price	Cost Basis	Gain or (Loss)
140.2490	BLACKROCK LG CAP CORE C	01/05/07	01/02/09	1,102.36	1.854.08	T1 (27,127)
87.8470	BLACKROCK LG CAP CORE C	01/05/07	01/0/10	690.48	1.161.33	(470 85) I T
5.1170	BLACKROCK LG CAP CORE C	01/05/07	01/0/10	40.22	67.64	(27.42)
52.6520	VAN KAMPEN VAL FDP FD C	01/05/07	01/0/09	355.93	602.32	(246.39) LT
51.0010	VAN KAMPEN VAL FDP FD C	01/05/07	01/07/09	344.77	583.44	(238.67)
1.6530	MARSICO GROWTH FDP FD C	01/05/07	01/02/09	12.55	18.77	(6.22)
7.4380	BLACKROCK BASIC VALUE C	01/05/07	01/01/09	126.89	232.58	(105.69) LT
1,000.0000	BANK OF AMERICA CORP	05/20/08	60/60/90	18,619.51	24,999.99	(6,380.48) LT
800 0000	BANK OF AMERICA CORP	05/20/08	60/06/90	15,535,59	20,000.00	(4,464,41) LT
0000'009	BANK OF AMERICA CORP	05/20/08	60/06/90	11,657.69	15,000,01	(3,342,32) LT
42 8790	BLACKROCK SM CAP GR II C	01/05/07	60/10/10	350.32	581.43	(231.11)
46.5810	MFS INTERNATNL FDP FD C	01/05/07	60/10/0	371.25	611.14	(239.89) LT
32.7800	BLACKROCK FUNDMNTL GRW C	01/05/07	60/10/10	437.61	582.50	(144.89) LT
15.5930	BLACKROCK GLBL SM CAP C	01/05/07	60/L0/L0	220.95	374.38	(153,43) LT
8.6080	BLACKROCK GLBL SM CAP C	01/05/07	60/10/10	121.98	206.67	(84.69) LT
				49,988.10	82.718,99	(81.888.18)

PARTICINE 10C Balance Sheet Fiscal Statement

GOTTLIEB-SCHWARTZ FAMILY

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		CURREN	CURRENT PORTFOLIO SUMMARY	MAKY			
Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/09	Unrealized Gain or (Loss)	Est Accrued Interest	Est Annual Income
			Cash and Money Funds				
	CASH		40,000.02	40,000.02			
26,307	ML BANK DEPOSIT PROGRAM	A 01/03/07	26,307.00	26,307.00			13 16
	Total Cash and Money Funds		66,307.02	66,307.02			13.16
		CURREN	CURRENT PORTFOLIO SUMMARY	MARY			
Ouantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/09		Unrealized Gain or (Loss)	Est Annual Income
			Equities				
896	BANK OF AMERICA CORP	02/20/08	15,000.00	14,578.08		(421 92)	39.00
	Total Equities		15,000.00	14,578.08		(421.92)	39.00
		Mutual Fi	Mutual Funds/Closed End Funds/UIT	ds/UIT			
764	BLACKROCK SMALL CAP	01/05/07	10,035 21	7,815 72		(2,219 49)	
	GROWTH FD II C .4320 Fractional Share	01/05/07		4.41			
2,910	BLACKROCK LARGE CAP	01/05/07	37,078.07	26,655.60		(10,422.47)	
	CORE FD C .4840 Fractional Share	01/05/07		4.43			
1,328	VAN KAMPEN VALUE FDP FD C	01/05/07	15,064 40 🗸	11,460 64		(3,603 76)	151 00
66666666 X		PLEASE SEE REVERSE SIDE Page Statement Period Account No 5 of 13 Year Ending 12/31/09 833-04011					

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Fiscal Statement

GOTTLIEB-SCHWARTZ FAMILY

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1.682 Mirs RESEARCH INTERNIT 6.705/07 21.332.87 16.920.92 (4.411.95) 197 19	Quantity	Security Description	Date Acquired	l otal/Adj Cost Basis	Fiscal Year Value 12/31/09	Unrealized Gain or (Loss)	Annual Income
S.250 Fractional Share 01/05/07 2.1.332.87			Mutual F	unds/Closed End Funds/	UIT		
MFS RESEARCH INTERNIT. 01/05/07 21.332.87		.6200 Fractional Share	01/05/07		5.35		1 00
100 Found 100	1,682		01/05/07	21,332.87 🗸	16,920.92	(4,411 95)	197 00
MARSICO GROWTH FDP FUND 01/05/07 13.601.88 11.455.06 (2.146.82) C. 1600 Fractional Share 01/05/07 29.995.67 22.137.28 (7.858.39) FUND CL C. 2410 Fractional Share 02/23/07 11.830.55 11.553.63 (7.858.39) BLACKROCK FUNDAMENTAL 01/05/07 11.830.55 11.553.63 (276.92) GROWTH FD INC C. GROWTH FD INC C. 2680 Fractional Share 01/05/07 16.337.07 11.366.25 (4.970.82) BLACKROCK BASIC 01/05/07 12.464.13 8.084.16 (4.379.97) BLACKROCK VALUE 01/05/07 12.464.13 8.084.16 (4.379.97) BLACKROCK CLOBAL 01/05/07 10,077.49 7,338.56 (2.138.93) BLACKROCK CLOBAL 01/05/07 10,05/07 10,077.49 7,338.56 SMALLCAP FD INC C. 5730 Fractional Share 01/05/07 10,05/07 10,05/07 10,05/07 SMALLCAP FD INC C. 5730 Fractional Share 01/05/07 10,077.49 7,338.56 (2.138.93) Total Mutual Funds/Closed End Funds/UIT 177,817.34 135,455.71 (42,429.52) <		FUND C .3940 Fractional Share	01/05/07		3.96		1.00
CCUDE CCUDE <th< td=""><td>1,202</td><td></td><td>01/05/07</td><td>13,601.88</td><td>11,455.06</td><td>(2,146.82)</td><td></td></th<>	1,202		01/05/07	13,601.88	11,455.06	(2,146.82)	
MFS SECTOR ROTATIONAL 02/23/07 29.995.67		C .1600 Fractional Share	01/05/07		1.52		
FUND CL C 3.19 3.19 LAGE FOLL C 01/05/07 11,830.55 / 11,553.63 (276.92) BLACK ROCK F LUND AMENTAL 01/05/07 11,830.55 / 11,366.25 (4,970.82) GROWTH FD INC C9910 Fractional Share 01/05/07 16,337.07 / 11,366.25 (4,970.82) BLACK ROCK BASIC C2680 Fractional Share 01/05/07 12,464.13 / 8,084.16 (4,970.82) BLACK ROCK VALUE COPPORTUNITIES FD INC C9860 Fractional Share 01/05/07 10,077.49 / 7,938.56 (2,138.93) BLACK ROCK GLOBAL SMALLCAP FD INC C9860 Fractional Share 01/05/07 10,077.49 / 7,938.56 (2,138.93) SMALLCAP FD INC C9860 Fractional Share 01/05/07 10,077.49 / 7,938.56 (2,138.93) SMALLCAP FD INC C9860 Fractional Share 01/05/07 10,077.49 / 7,938.56 (2,138.93)	1,672		02/23/07	29,995.67 🗸	22,137.28	(7,858 39)	
BLACKROCK FUNDAMENTAL 01/05/07 11,830.55 (1,553.63) (276.92) GROWTH FD INC C9910 Fractional Share 01/05/07 16,337.07 (2,337.07) 11,366.25 (4,970.82) BLACKROCK BASIC VALUE FD INC C2680 Fractional Share 01/05/07 12,464.13 (2,484.16) (4,379.97) BLACKROCK VALUE COPPORTUNITIES FD INC C3680 Fractional Share 01/05/07 10,077.49 (2,138.93) (4,379.97) BLACKROCK VALUE SABLACKROCK COBAL CAPACH SABLACKROCKROCK CAPACH SABLACKROCK CAPACH SABLACKROCK CAPACH SABLACKROCK CAPACH SABLACKROCK CAPACH SA		FUND CL C .2410 Fractional Share	02/23/07		3.19		
CHOWITH FD INC C. 9910 Fractional Share 01/05/07 16.337.07 11.366.25 (4.970 82) BLACKROCK BASIC VALUE FD INC C. 2680 Fractional Share 01/05/07 12.464.13	699		01/05/07	11,830.55 🗸	11,553.63	(276.92)	
BLACKROCK BASIC 01/05/07 16,337.07 11,366.25 (4,970 82) VALUE FD INC C. 2.680 Fractional Share 01/05/07 5.80 (4,379.97) BLACKROCK VALUE OPPORTUNITIES FD INC C. 9860 Fractional Share SMALLCAP FD INC C. 9860 Fractional Share SMALLCAP FD INC C. 5730 Fractional Share 10,077.49		GROWIN FOUNCE .9910 Fractional Share	01/05/07		17.11		
VALUE FD INC C. 2680 Fractional Share 01/05/07 12,464.13	525		01/05/07	16,337.07 ✓	11,366.25	(4,970 82)	125 00
BLACKROCK VALUE 01/05/07 12,464.13		VALUE FU INC C .2680 Fractional Share	01/05/07		5.80		1 00
11.86 11.8	672		01/05/07	12,464.13 🗸	8,084.16	(4,379.97)	
BLACKROCK GLOBAL 01/05/07 10,077.49 7,938.56 (2,138 93) SMALLCAP FD INC C 5730 Fractional Share 10.26 5730 Fractional Share 17,817.34 135,455.71 (42,429.52)		OPPORTUNITES FUTING C. .9860 Fractional Share	01/05/07		11.86		
01/05/07 10.26 sed End Funds/UIT 177,817.34 135,455.71 (42,429.52.)	443		01/05/07	10,077.49	7,938.56	(2,138 93)	
177,817.34 135,455.71 (42,429.52)		SWALLCAP FD INC C 5730 Fractional Share	01/05/07		10.26		
		Total Mutual Funds/Closed End Funds/UIT		177,817.34	135,455.71	(42,429.52)	476.00

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Account No 833-04011

PLEASE SEE REVERSE SIDE Page Statement Period 6 of 13 Year Ending 12/31/09