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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

G Check all that apply ☐ Initial return ☐ Initial Return of a former public charity ☐ Final return
☐ Amended return ☐ Address change ☐ Name changeUse the
IRS label
Otherwise,
print
or type.
See Specific
InstructionsMAX KADE FOUNDATION, INC.
6 EAST 87TH STREET FL-5
NEW YORK, NY 10128-0505

A Employer identification number

13-5658082

B Telephone number (see the instructions)

646-672-4354

C If exemption application is pending, check here ☐D 1 Foreign organizations, check here ☐2 Foreign organizations meeting the 85% test, check here and attach computation ☐E If private foundation status was terminated under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐H Check type of organization ☒ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, column (c), line 16)

\$ 87,184,576.

J Accounting method ☒ Cash ☐ Accrual
☐ Other (specify) _____

(Part I, column (d) must be on cash basis)

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see the instructions))

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

1 Contributions, gifts, grants, etc., received (att sch)

2 Ck ☒ if the foundn is not req to att Sch B

3 Interest on savings and temporary cash investments

2,129,595.

2,129,595.

2,129,595.

4 Dividends and interest from securities

942,300.

942,300.

942,300.

5a Gross rents

b Net rental income or (loss)

STATEMENT 1

6a Net gain/(loss) from sale of assets not on line 10

-1,726,950.

b Gross sales price for all assets on line 6a 20,378,272.

7 Capital gain net income (from Part IV, line 2)

0.

8 Net short-term capital gain

343,065.

9 Income modifications

10a Gross sales less returns and allowances

b Less cost of goods sold

c Gross profit/(loss) (att sch)

11 Other income (attach schedule)

12 Total. Add lines 1 through 11

-46,525.

-46,525.

1,298,420.

3,071,895.

3,368,435.

13 Compensation of officers, directors, trustees, etc

189,448.

189,448.

14 Other employee salaries and wages

136,404.

136,404.

15 Pension plans, employee benefits

65,439.

65,439.

16a Legal fees (attach schedule)

b Accounting fees (attach sch) SEE ST 3

40,523.

40,523.

c Other prof fees (attach sch) SEE ST 4

803.

803.

803.

17 Interest

78,220.

78,220.

78,220.

18 Taxes (attach schedule)(see instr) SEE STM 5

93,549.

93,549.

19 Depreciation (attach sch) and depletion

20 Occupancy

21 Travel, conferences, and meetings

5,187.

5,187.

22 Printing and publications

500.

500.

23 Other expenses (attach schedule)

SEE STATEMENT 6

68,855.

68,855.

24 Total operating and administrative expenses. Add lines 13 through 23

678,928.

79,023.

79,023.

599,905.

25 Contributions, gifts, grants paid PART XV

3,244,575.

3,244,575.

26 Total expenses and disbursements. Add lines 24 and 25

3,923,503.

79,023.

79,023.

3,844,480.

27 Subtract line 26 from line 12:

a Excess of revenue over expenses and disbursements

-2,625,083.

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

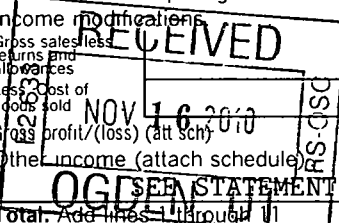
2,992,872.

c Adjusted net income (if negative, enter 0)

3,289,412.

SCANNED NOV 19 2010

ADMINISTRATIVE AND OPERATING EXPENSES



Handwritten initials and a checkmark:

gjm

✓

Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions.)

Beginning of year

End of year

(a) Book Value

(b) Book Value

(c) Fair Market Value

| | | Beginning of year | End of year | |
|--|--|-------------------------------------|----------------|-----------------------|
| | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| ASSETS | 1. Cash — non-interest-bearing | 231. | 272. | 272. |
| | 2. Savings and temporary cash investments | 12,837,206. | 5,975,724. | 5,975,724. |
| | 3. Accounts receivable | | | |
| | Less allowance for doubtful accounts | | | |
| | 4. Pledges receivable | | | |
| | Less allowance for doubtful accounts | | | |
| | 5. Grants receivable | | | |
| | 6. Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see the instructions) | | | |
| | 7. Other notes and loans receivable (attach sch) | | | |
| | Less allowance for doubtful accounts | | | |
| | 8. Inventories for sale or use | | | |
| | 9. Prepaid expenses and deferred charges | 132,079. | 72,222. | 72,222. |
| | 10a. Investments — U.S. and state government obligations (attach schedule) STATEMENT 7 | 22,717,988. | 22,925,325. | 22,762,212. |
| | b. Investments — corporate stock (attach schedule) STATEMENT 8 | 21,994,275. | 21,338,489. | 31,660,904. |
| | c. Investments — corporate bonds (attach schedule) STATEMENT 9 | 15,491,356. | 15,996,382. | 16,710,374. |
| | 11. Investments — land, buildings, and equipment basis | | | |
| Less accumulated depreciation (attach schedule) | | | | |
| 12. Investments — mortgage loans | | | | |
| 13. Investments — other (attach schedule) STATEMENT 10 | 5,089,092. | 9,328,600. | 10,002,868. | |
| 14. Land, buildings, and equipment basis | | | | |
| Less accumulated depreciation (attach schedule) | | | | |
| 15. Other assets (describe) | | | | |
| 16. Total assets (to be completed by all filers — see instructions. Also, see page 1, item I) | 78,262,227. | 75,637,014. | 87,184,576. | |
| LIABILITIES | 17. Accounts payable and accrued expenses | 614. | 484. | |
| | 18. Grants payable | | | |
| | 19. Deferred revenue | | | |
| | 20. Loans from officers, directors, trustees, & other disqualified persons | | | |
| | 21. Mortgages and other notes payable (attach schedule) | | | |
| | 22. Other liabilities (describe) | | | |
| | 23. Total liabilities (add lines 17 through 22) | 614. | 484. | |
| NET ASSETS OR FUND BALANCES | Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. | <input type="checkbox"/> | | |
| | 24. Unrestricted | | | |
| | 25. Temporarily restricted | | | |
| | 26. Permanently restricted | | | |
| | Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. | <input checked="" type="checkbox"/> | | |
| | 27. Capital stock, trust principal, or current funds | 78,261,613. | 75,636,530. | |
| | 28. Paid-in or capital surplus, or land, building, and equipment fund | | | |
| | 29. Retained earnings, accumulated income, endowment, or other funds | | | |
| | 30. Total net assets or fund balances (see the instructions) | 78,261,613. | 75,636,530. | |
| | 31. Total liabilities and net assets/fund balances (see the instructions) | 78,262,227. | 75,637,014. | |

Part III Analysis of Changes in Net Assets or Fund Balances

| | | |
|---|---|-------------|
| 1. Total net assets or fund balances at beginning of year — Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 78,261,613. |
| 2. Enter amount from Part I, line 27a | 2 | -2,625,083. |
| 3. Other increases not included in line 2 (itemize) | 3 | |
| 4. Add lines 1, 2, and 3 | 4 | 75,636,530. |
| 5. Decreases not included in line 2 (itemize) | 5 | |
| 6. Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30 | 6 | 75,636,530. |

Part IV Capital Gains and Losses for Tax on Investment Income

| (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shares MLC Company) | | (b) How acquired P — Purchase D — Donation | (c) Date acquired (month, day, year) | (d) Date sold (month, day, year) |
|--|--|--|---|-------------------------------------|
| 1 a SEE STATEMENT 11 | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|-----------------------|--|---|--|
| a | | | |
| b | | | |
| c | | | |
| d | | | |
| e | | | |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h)) |
|---|--------------------------------------|---|---|
| (i) Fair Market Value as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of column (i) over column (j), if any | |
| a | | | |
| b | | | |
| c | | | |
| d | | | |
| e | | | |

| | | | | |
|--|---|--|---|-------------|
| 2 Capital gain net income or (net capital loss) | <div style="border: 1px solid black; padding: 2px; display: inline-block;"> If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 </div> | | 2 | -1,732,118. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) | <div style="border: 1px solid black; padding: 2px; display: inline-block;"> If gain, also enter in Part I, line 8, column (c) (see the instructions) If (loss), enter -0- in Part I, line 8 </div> | | 3 | 343,065. |

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

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes☒ No

If 'Yes,' the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year, see the instructions before making any entries

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (column (b) divided by column (c)) |
|--|---------------------------------------|--|--|
| 2008 | 4,791,658. | 88,819,533. | 0.053948 |
| 2007 | 5,472,730. | 94,782,412. | 0.057740 |
| 2006 | 4,750,125. | 90,658,139. | 0.052396 |
| 2005 | 5,027,456. | 89,764,397. | 0.056007 |
| 2004 | 4,241,983. | 89,833,868. | 0.047220 |

| | | |
|--|---|-------------|
| 2 Total of line 1, column (d) | 2 | 0.267311 |
| 3 Average distribution ratio for the 5-year base period — divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | 0.053462 |
| 4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5 | 4 | 81,632,695. |
| 5 Multiply line 4 by line 3 | 5 | 4,364,247. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 29,929. |
| 7 Add lines 5 and 6 | 7 | 4,394,176. |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 3,844,480. |

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

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Form 990-PF (2009)

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

| | | | |
|---|----|----------|---------|
| 1 a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter 'N/A' on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary – see instr.) | | | |
| b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b | | 1 | 59,857. |
| 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. Others enter -0-) | | 2 | 0. |
| 3 Add lines 1 and 2 | | 3 | 59,857. |
| 4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | 4 | 0. |
| 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- | | 5 | 59,857. |
| 6 Credits/Payments | | | |
| a 2009 estimated tax pmts and 2008 overpayment credited to 2009 | 6a | 132,079. | |
| b Exempt foreign organizations – tax withheld at source | 6b | | |
| c Tax paid with application for extension of time to file (Form 8868) | 6c | | |
| d Backup withholding erroneously withheld | 6d | | |
| 7 Total credits and payments. Add lines 6a through 6d | 7 | 132,079. | |
| 8 Enter any penalty for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> 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 | 9 | 0. | |
| 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid | 10 | 72,222. | |
| 11 Enter the amount of line 10 to be Credited to 2010 estimated tax Refunded | 11 | 0. | |

Part VII-A Statements Regarding Activities

| | Yes | No |
|---|-----|----|
| 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? | | X |
| b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)? <i>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</i> | | X |
| c Did the foundation file Form 1120-POL for this year? | | X |
| d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation \$ 0. (2) On foundation managers \$ 0. | | |
| e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ 0. | | |
| 2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If 'Yes,' attach a detailed description of the activities</i> | | X |
| 3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If 'Yes,' attach a conformed copy of the changes</i> | | X |
| 4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year? | X | |
| b If 'Yes,' has it filed a tax return on Form 990-T for this year? | X | |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If 'Yes,' attach the statement required by General Instruction T</i> | | X |
| 6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | X | |
| 7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If 'Yes,' complete Part II, column (c), and Part XV</i> | X | |
| 8 a Enter the states to which the foundation reports or with which it is registered (see the instructions) NY | | |
| b If the answer is 'Yes' to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by <i>General Instruction G</i> ? <i>If 'No,' attach explanation</i> | X | |
| 9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2009 or the taxable year beginning in 2009 (see instructions for Part XIV)? <i>If 'Yes,' complete Part XIV</i> | | X |
| 10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses</i> | | X |

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Part VII-A Statements Regarding Activities Continued

| | | | | |
|----|---|----|---|-----|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes', attach schedule (see instructions) | 11 | | X |
| 12 | Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008? | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <u>N/A</u> | 13 | X | |
| 14 | The books are in care of <u>MAX KADE FOUNDATION, INC.</u> Telephone no <u>646-672-4354</u> Located at <u>6 EAST 87TH STREET NEW YORK CITY NY</u> ZIP + 4 <u>10128-0505</u> | | | |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <u>N/A</u> and enter the amount of tax-exempt interest received or accrued during the year <u>15</u> | | | 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.

| | Yes | No |
|---|-----|-----|
| 1a During the year did the foundation (either directly or indirectly) | | |
| (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| (6) Agree to pay money or property to a government official? (Exception. Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| b If any answer is 'Yes' to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see the instructions)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/> | 1b | N/A |
| c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009? | 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If 'Yes,' list the years <u>20__</u> , <u>20__</u> , <u>20__</u> , <u>20__</u> | | |
| b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer 'No' and attach statement - see the instructions) | 2b | N/A |
| c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here <u>20__</u> , <u>20__</u> , <u>20__</u> , <u>20__</u> | | |
| 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| b If 'Yes,' did it have excess business holdings in 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 approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009) | 3b | N/A |
| 4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | X |
| b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009? | 4b | X |

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Form 990-PF (2009)

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No**b** If any answer is 'Yes' to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

5b N/A

Organizations relying on a current notice regarding disaster assistance check here

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

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

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

6b X

If 'Yes' to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?

7b N/A

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation (see instructions).

| (a) Name and address | (b) Title and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|----------------------|--|---|---|---------------------------------------|
| SEE STATEMENT 12 | | 189,448. | 0. | 0. |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

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

| (a) Name and address of each employee paid more than \$50,000 | (b) Title and average hours per week devoted to position | (c) Compensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|--|------------------|---|---------------------------------------|
| NONE | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

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

0

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

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

| | Expenses |
|--------------|----------|
| 1 N/A | |
| 2 | |
| 3 | |
| 4 | |

Part IX-B Summary of Program-Related Investments (see instructions)

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|--|--------|
| 1 N/A | |
| 2 | |
| All other program-related investments See instructions | |
| 3 | |
| Total. Add lines 1 through 3 | 0. |

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Form 990-PF (2009)

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

| | | | |
|---|--|----|-------------|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes | | |
| a | Average monthly fair market value of securities | 1a | 75,032,817. |
| b | Average of monthly cash balances | 1b | 7,843,015. |
| c | Fair market value of all other assets (see instructions) | 1c | |
| d | Total (add lines 1a, b, and c) | 1d | 82,875,832. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) | 1e | 0. |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | 0. |
| 3 | Subtract line 2 from line 1d | 3 | 82,875,832. |
| 4 | Cash deemed held for charitable activities Enter 1-1/2% of line 3 (for greater amount, see instructions) | 4 | 1,243,137. |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 81,632,695. |
| 6 | Minimum investment return. Enter 5% of line 5 | 6 | 4,081,635. |

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

| | | | |
|----|---|----|------------|
| 1 | Minimum investment return from Part X, line 6 | 1 | 4,081,635. |
| 2a | Tax on investment income for 2009 from Part VI, line 5 | 2a | 59,857. |
| b | Income tax for 2009 (This does not include the tax from Part VI) | 2b | |
| c | Add lines 2a and 2b | 2c | 59,857. |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | 3 | 4,021,778. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | |
| 5 | Add lines 3 and 4 | 5 | 4,021,778. |
| 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 | 4,021,778. |

Part XII Qualifying Distributions (see instructions)

| | | | |
|---|---|----|------------|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes | | |
| a | Expenses, contributions, gifts, etc. — total from Part I, column (d), line 26 | 1a | 3,844,480. |
| b | 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 | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | Qualifying distributions Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 3,844,480. |
| 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 | 3,844,480. |

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

Part XIII Undistributed Income (see instructions)

| | (a) Corpus | (b) Years prior to 2008 | (c) 2008 | (d) 2009 |
|---|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2009 from Part XI, line 7 | | | | 4,021,778. |
| 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 | | | | |
| a From 2004 | | | | |
| b From 2005 | 622,379. | | | |
| c From 2006 | 320,771. | | | |
| d From 2007 | 912,333. | | | |
| e From 2008 | 410,519. | | | |
| f Total of lines 3a through e | 2,266,002. | | | |
| 4 Qualifying distributions for 2009 from Part XII, line 4 ▶ \$ 3,844,480. | | | | |
| 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 (Election required — see instructions) | 0. | | | |
| d Applied to 2009 distributable amount | | | | 3,844,480. |
| e Remaining amount distributed out of corpus | 0. | | | |
| 5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a).) | 177,298. | | | 177,298. |
| 6 Enter the net total of each column as indicated below: | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 2,088,704. | | | |
| b Prior years' undistributed income Subtract line 4b from line 2b | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | 0. | | |
| d Subtract line 6c from line 6b Taxable amount — see instructions | | 0. | | |
| e Undistributed income for 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 distributed in 2010 | | | | 0. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed 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) | 0. | | | |
| 9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a | 2,088,704. | | | |
| 10 Analysis of line 9 | | | | |
| a Excess from 2005 | 445,081. | | | |
| b Excess from 2006 | 320,771. | | | |
| c Excess from 2007 | 912,333. | | | |
| d Excess from 2008 | 410,519. | | | |
| e Excess from 2009 | | | | |

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

N/A

| | | | | | |
|--|--|---------------|----------|----------|-----------|
| 1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2009, enter the date of the ruling | | | | | |
| b Check box to indicate whether the foundation is a private operating foundation described in section 4942(j)(3) or 4942(j)(5) | <input type="checkbox"/> 4942(j)(3) or <input type="checkbox"/> 4942(j)(5) | | | | |
| 2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | Tax year | Prior 3 years | | | |
| | (a) 2009 | (b) 2008 | (c) 2007 | (d) 2006 | (e) Total |
| b 85% of line 2a | | | | | |
| c 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 | | | | | |
| e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c | | | | | |
| 3 Complete 3a, b, or c for the alternative test relied upon | | | | | |
| a 'Assets' alternative test — enter | | | | | |
| (1) Value of all assets | | | | | |
| (2) Value of assets qualifying under section 4942(j)(3)(B)(i) | | | | | |
| b 'Endowment' alternative test — enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed | | | | | |
| c 'Support' alternative test — enter. | | | | | |
| (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) | | | | | |
| (2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii) | | | | | |
| (3) Largest amount of support from an exempt organization | | | | | |
| (4) Gross investment income | | | | | |

Part XV Supplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year — see instructions.)**1 Information Regarding Foundation Managers:**

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2).)

NONE

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest

NONE

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc, Programs:

Check here ☐ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc, (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d

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

SEE STATEMENT 13

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

SEE STATEMENT FOR LINE 2A

c Any submission deadlines

SEE STATEMENT FOR LINE 2A

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

SEE STATEMENT FOR LINE 2A

Part XV Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|--|--------------------------------------|-------------------------------------|----------------------|
| <i>a Paid during the year</i> SCHEDULE ATTACHED-PAID | NONE | PUBLIC | | 3,244,575. |
| Total | | | | 3a 3,244,575. |
| <i>b Approved for future payment</i> SCHEDULE ATTACHED | NONE | PUBLIC | | 1,769,070. |
| Total | | | | 3b 1,769,070. |

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

| Enter gross amounts unless otherwise indicated | | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (see the instructions) |
|--|--|---------------------------|---------------|--------------------------------------|---------------|---|
| | | (a) Business code | (b) Amount | (c) Exclu- sion code | (d) Amount | |
| 1 | Program service revenue | | | | | |
| a | | | | | | |
| b | | | | | | |
| c | | | | | | |
| d | | | | | | |
| e | | | | | | |
| f | | | | | | |
| g | Fees and contracts from government agencies | | | | | |
| 2 | Membership dues and assessments | | | | | |
| 3 | Interest on savings and temporary cash investments | | | 14 | 2,129,595. | |
| 4 | Dividends and interest from securities | | | 14 | 942,300. | |
| 5 | Net rental income or (loss) from real estate | | | | | |
| a | Debt-financed property | | | | | |
| b | Not debt-financed property | | | | | |
| 6 | Net rental income or (loss) from personal property | | | | | |
| 7 | Other investment income | | | | | |
| 8 | Gain or (loss) from sales of assets other than inventory | 525990 | 5,168. | 18 | -1,732,118. | |
| 9 | Net income or (loss) from special events | | | | | |
| 10 | Gross profit or (loss) from sales of inventory | | | | | |
| 11 | Other revenue | | | | | |
| a | K-1 INVESTMENT INCOME | | | 14 | -51,351. | |
| b | OTHER INVESTMENT INCOME | 525990 | -2,815. | 14 | | |
| c | REFUND-PRIOR YEAR GRANTS | | | 14 | 7,641. | |
| d | | | | | | |
| e | | | | | | |
| 12 | Subtotal. Add columns (b), (d), and (e) | | 2,353. | | 1,296,067. | |
| 13 | Total. Add line 12, columns (b), (d), and (e) | | | | | 13 1,298,420. |

(See worksheet in the instructions for line 13 to verify calculations)

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

[illegible]

MAX KADE FOUNDATION, INC.

13-5658082

STATEMENT 1
FORM 990-PF, PART I, LINE 6A
NET GAIN (LOSS) FROM NONINVENTORY SALES PER BOOKS
ASSETS NOT INCLUDED IN PART IV

| | | |
|----------------------|--|--------------------|
| DESCRIPTION: | UBTI CAPITAL GAIN & 1256 | |
| DATE ACQUIRED: | VARIOUS | |
| HOW ACQUIRED: | PURCHASE | |
| DATE SOLD: | VARIOUS | |
| TO WHOM SOLD: | | |
| GROSS SALES PRICE: | 5,168. | |
| COST OR OTHER BASIS: | 0. | |
| BASIS METHOD: | COST | |
| | | GAIN (LOSS) 5,168. |
| | NET GAIN (LOSS) REPORTED ON PART IV..... (1,732,118.) | |
| | TOTAL NEW GAIN (LOSS) FROM NON-INVENTORY SALES.....\$ (1,726,950.) | |

STATEMENT 2
FORM 990-PF, PART I, LINE 11
OTHER INCOME

| | (A) REVENUE PER BOOKS | (B) NET INVESTMENT INCOME | (C) ADJUSTED NET INCOME |
|--------------------------|-----------------------------|---------------------------------|-------------------------------|
| K-1 INVESTMENT INCOME | \$ -51,351. | | |
| OTHER INVESTMENT INCOME | -2,815. | | |
| REFUND-PRIOR YEAR GRANTS | 7,641. | | |
| TOTAL | \$ -46,525. | \$ 0. | \$ 0. |

STATEMENT 3
FORM 990-PF, PART I, LINE 16B
ACCOUNTING FEES

| | (A) EXPENSES PER BOOKS | (B) NET INVESTMENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|-------------------|------------------------------|---------------------------------|-------------------------------|-------------------------------|
| PROFESSIONAL FEES | \$ 40,523. | | | \$ 40,523. |
| TOTAL | \$ 40,523. | \$ 0. | \$ 0. | \$ 40,523. |

STATEMENT 4
FORM 990-PF, PART I, LINE 16C
OTHER PROFESSIONAL FEES

| | (A) EXPENSES PER BOOKS | (B) NET INVESTMENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|--------------------------|------------------------------|---------------------------------|-------------------------------|-------------------------------|
| INVESTMENT ADVISORY FEES | \$ 803. | \$ 803. | \$ 803. | |
| TOTAL | \$ 803. | \$ 803. | \$ 803. | \$ 0. |

MAX KADE FOUNDATION, INC.

13-5658082

STATEMENT 5
FORM 990-PF, PART I, LINE 18
TAXES

| | (A) EXPENSES PER BOOKS | (B) NET INVESTMENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|--------------------|------------------------------|---------------------------------|-------------------------------|-------------------------------|
| FEDERAL EXCISE TAX | \$ 59,857. | | | \$ 59,857. |
| FOREIGN TAXES | 14,033. | | | 14,033. |
| PAYROLL TAXES | 19,659. | | | 19,659. |
| TOTAL | \$ 93,549. | \$ 0. | \$ 0. | \$ 93,549. |

STATEMENT 6
FORM 990-PF, PART I, LINE 23
OTHER EXPENSES

| | (A) EXPENSES PER BOOKS | (B) NET INVESTMENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|-----------------------------|------------------------------|---------------------------------|-------------------------------|-------------------------------|
| INSURANCE & BLUE CROSS | \$ 38,353. | | | \$ 38,353. |
| NY STATE FILING FEE | 1,500. | | | 1,500. |
| OFFICE EXPENSE | 20,761. | | | 20,761. |
| OFFICE SUPPLIES & EQUIPMENT | 5,166. | | | 5,166. |
| POSTAGE & TELEPHONE | 3,075. | | | 3,075. |
| TOTAL | \$ 68,855. | \$ 0. | \$ 0. | \$ 68,855. |

STATEMENT 7
FORM 990-PF, PART II, LINE 10A
INVESTMENTS - U.S. AND STATE GOVERNMENT OBLIGATIONS

| U.S. GOVERNMENT OBLIGATIONS | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
|--|---------------------|---------------|----------------------|
| FNMA 545412 5.5% | COST | \$ 133,369. | \$ 104,762. |
| GOVT NATL MTG ASSN 003222 6% | COST | 142,219. | 112,951. |
| GOVT NATL MTG 003245 6% | COST | 162,684. | 126,439. |
| FNR 2002-73.5% | COST | 699,299. | 746,369. |
| FHR 2519 5% | COST | 131,025. | 139,692. |
| GOVT NATL MTG ASSN 1475M 7% | COST | 83,211. | 81,456. |
| GOVT NATL MTG ASSN 2053 6.5% | COST | 20,509. | 15,413. |
| GOVT NATL MTG ASSN 2135 6.5% | COST | 76,767. | 62,691. |
| GOVT NATL MTG ASSN 2565 7.5% | COST | 78,484. | 42,598. |
| GOVT NATL MTG ASSN 780770 6% | COST | 111,769. | 82,203. |
| GOVT NATL MTG ASSN 2590 6.5% | COST | 74,348. | 42,204. |
| GOVT NATL MTG ASSN 2657 6% | COST | 49,259. | 40,370. |
| GOVT NATL MTG ASSN 2671M 6% | COST | 305,875. | 291,390. |
| GOVT NATL MTG ASSN 2687 6% | COST | 150,878. | 133,710. |
| GOVT NATL MTG ASSN 49506 6% | COST | 59,286. | 37,991. |
| GOVT NATL MTG ASSN 506600 6% | COST | 128,549. | 103,067. |
| GOVT NATL MTG ASSN 2824 7% | COST | 56,242. | 33,111. |
| GOVT NATL MTG ASSN 781124 7% | COST | 190,284. | 157,084. |
| GOVT NATL MTG ASSN 543988 6.5% | COST | 55,524. | 65,027. |
| GOVT NATL MTG ASSN 781478X 7.5% 946121 | COST | 415,034. | 385,578. |
| GOVT NATL MTG ASSN 577733 5.5% | COST | 256,449. | 238,849. |
| GNR 2002-75 5% | COST | 134,126. | 127,792. |

MAX KADE FOUNDATION, INC.

13-5658082

STATEMENT 7 (CONTINUED)
FORM 990-PF, PART II, LINE 10A
INVESTMENTS - U.S. AND STATE GOVERNMENT OBLIGATIONS

| U.S. GOVERNMENT OBLIGATIONS | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
|---------------------------------|---------------------|-----------------------|-----------------------|
| GOVT NATL MTG ASSN 579583 5.75% | COST | \$ 67,122. | \$ 31,981. |
| FHLB CALL 3.625% | COST | 1,018,595. | 1,004,690. |
| FFCB 5.24% | COST | 996,603. | 1,046,880. |
| GOVT NATL MTG ASSN 3899M 6% | COST | 455,522. | 451,597. |
| GOVT NATL MTG ASSN 3930M 5/5% | COST | 593,924. | 600,783. |
| GNMA 4048M 5.5% | COST | 727,666. | 747,417. |
| GNMA 4028M 6% | COST | 485,632. | 491,341. |
| GNMA 3953M 5.5% | COST | 598,302. | 622,725. |
| US TREASURY NOTE 5.125% | COST | 1,003,731. | 1,115,310. |
| GNMA 672615X | COST | 635,129. | 640,233. |
| GNMA 683724X | COST | 939,701. | 958,627. |
| GNMA 0001709M | COST | 24,574. | 19,219. |
| GNMA 530593 | COST | 87,700. | 129,744. |
| GNMA 552845X | COST | 167,882. | 170,332. |
| GNMA 781987X | COST | 239,906. | 240,230. |
| GNMA 3850M | COST | 633,925. | 665,424. |
| GNMA 004223M | COST | 596,151. | 583,792. |
| GNMA 004292M | COST | 631,260. | 621,342. |
| FED HOME LOAN BANK | COST | 1,032,345. | 1,001,250. |
| TVA | COST | 1,083,817. | 1,118,930. |
| US TSY INFL PRO NOTE | COST | 543,257. | 607,454. |
| GNMA 615240 | COST | 315,978. | 308,020. |
| GNMA 0003625 | COST | 196,465. | 178,811. |
| GNMA 4243 | COST | 891,661. | 895,880. |
| GNMA 4310 | COST | 462,374. | 443,124. |
| GNMA 4518 | COST | 1,001,691. | 958,312. |
| FFCB BOND 2.75 | COST | 1,007,005. | 996,880. |
| FHLB BOND 3.75 | COST | 997,005. | 989,690. |
| FNMA CALL NTS 3.10 | COST | 752,498. | 748,597. |
| FNMA CALL NTS 5 | COST | 503,518. | 500,940. |
| GNMA 4518 | COST | 719,196. | 701,910. |
| | | <u>\$ 22,925,325.</u> | <u>\$ 22,762,212.</u> |
| | TOTAL | <u>\$ 22,925,325.</u> | <u>\$ 22,762,212.</u> |

STATEMENT 8
FORM 990-PF, PART II, LINE 10B
INVESTMENTS - CORPORATE STOCKS

| CORPORATE STOCKS | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
|-------------------------|---------------------|---------------|----------------------|
| AIR PRODUCT & CHEMICALS | COST | \$ 132,880. | \$ 810,600. |
| ANADARKO PETE CORP | COST | 28,571. | 936,300. |
| BP PLC SPONSORED ADR | COST | 231,729. | 434,775. |
| BERKSHIRE HATHAWAY INC | COST | 1,358. | 1,248,680. |
| COLGATE PALMOLIVE CO | COST | 531,380. | 821,500. |
| CORN PRODUCTS INTL | COST | 196,225. | 292,300. |
| EXXON MOBILE CORP | COST | 171,713. | 1,534,275. |
| INTL BUSINESS MACHINE | COST | 221,461. | 981,750. |
| ITT INDUSTRIES INC. | COST | 485,068. | 746,100. |
| JOHNSON & JOHNSON | COST | 684,391. | 805,125. |

MAX KADE FOUNDATION, INC.

13-5658082

STATEMENT 8 (CONTINUED)
FORM 990-PF, PART II, LINE 10B
INVESTMENTS - CORPORATE STOCKS

| CORPORATE STOCKS | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
|-------------------------------------|---------------------|-----------------------|-----------------------|
| LILLY ELI CORP | COST | \$ 36,649. | \$ 249,970. |
| MERCK & CO INC. | COST | 29,062. | 548,100. |
| MICROSOFT CORP | COST | 674,028. | 762,000. |
| MORGAN STANLEY | COST | 320,660. | 296,000. |
| NESTLE SA | COST | 435,266. | 910,519. |
| PFIZER INC. | COST | 62,188. | 36,380. |
| PROCTER & GAMBLE | COST | 296,085. | 727,560. |
| STAPLES INC. | COST | 376,225. | 491,800. |
| SYSCO CORP | COST | 175,250. | 558,800. |
| TEVA PHARMACEUTICAL IND | COST | 303,152. | 561,800. |
| 3M CO | COST | 762,818. | 992,040. |
| UGI CORP NEW | COST | 562,825. | 604,750. |
| UBS GLOBAL ALLOCATION | COST | 717,286. | 680,695. |
| AUTOMATIC DATA PROCESSING | COST | 400,201. | 428,200. |
| CHINA MOBILE LTD SPON ADR | COST | 383,525. | 348,225. |
| CONOCO PHILLIPS | COST | 496,575. | 510,700. |
| CVS CORP | COST | 446,505. | 483,150. |
| ORACLE CORP | COST | 300,497. | 490,600. |
| EMC CORP MASS | COST | 309,030. | 349,400. |
| HEWLETT PACKARD | COST | 578,108. | 643,875. |
| MORNING STAR, INC | COST | 569,581. | 483,400. |
| UNTD TECHNOLOGIES CORP | COST | 795,444. | 867,625. |
| BRISTOL MYERS SQUIBB CO | COST | 108,651. | 145,516. |
| GENERAL ELECTRIC CORP | COST | 397,050. | 529,550. |
| HEWLETT PACKARD CO | COST | 691,131. | 756,250. |
| MILLIPORE CORP | COST | 335,357. | 542,625. |
| PETROLEO BRASILEIRO SA SPON | COST | 490,794. | 619,840. |
| ROYAL KPN N.V. SPON ADR | COST | 253,912. | 254,805. |
| DB 100% PPN ASIAN CURRENCY | COST | 250,000. | 246,750. |
| BC RTN OPTMZ SEC PP RODGERS INT | COST | 250,000. | 179,375. |
| ABB LTD SPON ADR | COST | 192,183. | 191,000. |
| AMER ELECTRIC POWER CO | COST | 311,802. | 347,900. |
| BIOGEN IDEC | COST | 232,504. | 267,500. |
| COHEN STEERS INC | COST | 301,696. | 342,600. |
| FPL GROUP | COST | 260,318. | 264,100. |
| FRANKLIN RESOURCES | COST | 314,499. | 526,750. |
| GENUINE PARTS | COST | 370,005. | 379,600. |
| HSBC HOLDINGS PLC NEW GB | COST | 288,172. | 285,450. |
| ING GROEP NV NL SPON | COST | 100,239. | 98,100. |
| INTEL CORP | COST | 192,284. | 204,000. |
| INTL PAPER | COST | 394,047. | 401,700. |
| JP MORGAN CHASE | COST | 578,517. | 625,050. |
| MEAD JOHNSON NUTRITION CO | COST | 127,017. | 185,856. |
| METLIFE | COST | 253,986. | 353,500. |
| NORTHROP | COST | 485,846. | 558,500. |
| SCHLUMBERGER LTD NETHERLANDS | COST | 351,128. | 488,175. |
| SPECTRA ENERGY | COST | 168,408. | 205,100. |
| SUNCOR ENERGY | COST | 324,279. | 451,968. |
| TELEFONICA SPON ADR | COST | 428,523. | 417,600. |
| WALT DISNEY | COST | 270,405. | 322,500. |
| DB 100% PPN ASIAN CURR BSKT 5/28/10 | COST | 250,000. | 242,250. |
| DEUTSCHE BK AG 5/3/12 | COST | 250,000. | 248,000. |
| UBS AG PERF SEC V10 12/31/12 | COST | 150,000. | 150,000. |
| UBS RTNOTMA SEC PP ROGERS INTL | COST | 250,000. | 192,000. |
| TOTAL | | <u>\$ 21,338,489.</u> | <u>\$ 31,660,904.</u> |

MAX KADE FOUNDATION, INC.

13-5658082

STATEMENT 9
FORM 990-PF, PART II, LINE 10C
INVESTMENTS - CORPORATE BONDS

| CORPORATE BONDS | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
|---------------------------------|---------------------|----------------|----------------------|
| ANADARKO FIN GLOBAL | COST | \$ 753,373. | \$ 792,548. |
| CON ED NYS | COST | 785,781. | 810,202. |
| VERIZON COMMUNICATIONS INC NTS | COST | 1,031,925. | 1,077,970. |
| CON EDISON NY | COST | 524,995. | 535,575. |
| VERIZON COMMUNICATIONS NTS | COST | 1,047,235. | 1,086,910. |
| INTERNATIONAL BUSINESS MACH NTS | COST | 1,021,055. | 1,093,310. |
| MONSANTO CO | COST | 561,505. | 566,740. |
| DUPONT DE NEMOURS NTS | COST | 1,019,215. | 1,073,410. |
| ATT ONC | COST | 1,007,906. | 1,066,880. |
| CON EDISON NTS | COST | 257,858. | 266,405. |
| WYETH CALL | COST | 1,012,505. | 1,074,870. |
| INTL BUS MACH | COST | 780,770. | 915,855. |
| WASHINGTON MUTUAL FIN SR | COST | 336,212. | 367,752. |
| WELLS FARGO | COST | 493,684. | 527,338. |
| CONS NAT GAS CO | COST | 526,946. | 538,260. |
| WACOVIA CORP | COST | 497,566. | 531,165. |
| DUKE ENERGY CORP | COST | 313,757. | 329,886. |
| VODAFONE GROUP | COST | 499,300. | 524,080. |
| METLIFE | COST | 516,602. | 559,920. |
| MORGAN STANLEY | COST | 238,342. | 259,390. |
| CVS CAREMARK | COST | 543,755. | 527,705. |
| PETRO CANADA NTS | COST | 1,099,395. | 1,074,970. |
| HESS CORP | COST | 283,155. | 301,490. |
| FPL GROUP | COST | 843,545. | 807,743. |
| TOTAL | | \$ 15,996,382. | \$ 16,710,374. |

STATEMENT 10
FORM 990-PF, PART II, LINE 13
INVESTMENTS - OTHER

| OTHER INVESTMENTS | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
|-------------------------------------|---------------------|---------------|----------------------|
| ENTERPRISE PRODUCTS PARTNERS | COST | \$ 318,395. | \$ 628,200. |
| UBS CREDIT & RECOVERY FUND | COST | 1,278,589. | 930,352. |
| UBS EQUITY OPPORTUNITY FUND | COST | 935,880. | 928,857. |
| UBS EVENT & EQUITY FUND | COST | 924,400. | 831,850. |
| UBS CARLYLE REALTY PARTNERS FUND | COST | 348,752. | 307,022. |
| VINTAGE 07 SERIES AIP ASIA FUND LLC | COST | 184,911. | 186,469. |
| SPDR GOLD TRUST | COST | 506,233. | 804,825. |
| CLAYMORE EXCHANGE TRADED FUND TRUST | COST | 238,137. | 339,680. |
| UNTS FT GREATER CHINA SERIES 18 | COST | 199,999. | 260,347. |
| UNTS FT GREATER CHINA SERIES 19 | COST | 199,999. | 213,907. |
| NUSTAR ENERGY | COST | 464,690. | 560,900. |
| CORP PROPERTY ASSOCS | COST | 203,337. | 253,795. |
| SECTOR SPDR TRUST | COST | 49,458. | 49,485. |
| MARKET VECTORS GOOLD MINER | COST | 51,823. | 46,210. |
| ISHARES MSCI TAIWAN INVESTS | COST | 50,895. | 51,880. |
| ISHARES SOUTH KOREA | COST | 51,912. | 52,404. |
| VANGUARD INTL FSTE ALL WORLD | COST | 59,549. | 65,415. |
| VANGUARD INTL EQUITY | COST | 52,922. | 61,500. |
| UNITED STATES OIL FUND | COST | 51,426. | 49,100. |

MAX KADE FOUNDATION, INC.

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STATEMENT 10 (CONTINUED)
FORM 990-PF, PART II, LINE 13
INVESTMENTS - OTHER

| | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
|---------------------------------|---------------------|----------------------|-----------------------|
| <u>OTHER INVESTMENTS</u> | | | |
| UTILITIES SECTOR SPDR | COST | \$ 36,440. | \$ 38,775. |
| POWER SHARES DB MUTLI | COST | 33,850. | 33,050. |
| ISHARES TRUST RUSSELL | COST | 70,690. | 78,050. |
| ISHARES MSCI UNTIED KINGDOMK | COST | 22,125. | 24,300. |
| ISHARES MSCI CANADA | COST | 82,004. | 92,155. |
| ISHARES TRUST DOW JONES | COST | 48,336. | 57,540. |
| ISHARES IBOXX HIGH YIELD | COST | 572,999. | 658,800. |
| ISHARES IBOXX INVT GRA | COST | 154,697. | 156,225. |
| ISHARES TRUST S P GLOBAL | COST | 65,274. | 68,113. |
| LORD ABBETT SHORT DURATION FUND | COST | 1,301,878. | 1,389,001. |
| TOTAL OTHER INVESTMENTS | | <u>\$ 8,559,600.</u> | <u>\$ 9,218,207.</u> |
| <u>OTHER SECURITIES</u> | | | |
| COUPON CERTIFICATES OF DEPOSIT | COST | 769,000. | 784,661. |
| TOTAL OTHER SECURITIES | | <u>\$ 769,000.</u> | <u>\$ 784,661.</u> |
| TOTAL | | <u>\$ 9,328,600.</u> | <u>\$ 10,002,868.</u> |

STATEMENT 11
FORM 990-PF, PART IV, LINE 1
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

| ITEM | (A) DESCRIPTION | (B) HOW ACQUIRED | (C) DATE ACQUIRED | (D) DATE SOLD |
|------|----------------------|---------------------|----------------------|------------------|
| 1 | GOLDMAN SACHS GROUP | PURCHASED | VARIOUS | 1/12/2009 |
| 2 | NYSE EURONEXT | PURCHASED | VARIOUS | 1/12/2009 |
| 3 | BANK OF AMER CORP | PURCHASED | 11/14/2007 | 1/16/2009 |
| 4 | JP MORGAN CAPITAL | PURCHASED | 2/01/2008 | 1/04/2009 |
| 5 | EMC CORPMAS | PURCHASED | 4/09/2007 | 2/04/2009 |
| 6 | GENERAL ELECTRIC | PURCHASED | VARIOUS | 2/04/2009 |
| 7 | LOWES CORP | PURCHASED | VARIOUS | 2/04/2009 |
| 8 | PFIZER INC | PURCHASED | VARIOUS | 2/04/2009 |
| 9 | GENERAL ELECTRIC | PURCHASED | 3/27/2007 | 2/23/2009 |
| 10 | JPMORGAN - CHASE | PURCHASED | 8/28/2008 | 2/24/2009 |
| 11 | MORNING STAR | PURCHASED | 8/21/2007 | 2/25/2009 |
| 12 | NORFOLD STHN CORP | PURCHASED | VARIOUS | 2/25/2009 |
| 13 | PFIZER INC | PURCHASED | 5/31/2002 | 2/25/2009 |
| 14 | SPIDER GLOBAL TITANS | PURCHASED | VARIOUS | 2/25/2009 |
| 15 | UBS RTN OPTMZ SEC | PURCHASED | 10/26/2007 | 3/02/2009 |
| 16 | UBS RTN OPTMZ SEC | PURCHASED | 4/25/2008 | 3/03/2009 |
| 17 | NOVARTIS | PURCHASED | VARIOUS | 3/09/2009 |
| 18 | UNITED FIRST TRUST | PURCHASED | 3/22/2007 | 3/26/2009 |
| 19 | PFIZER INC | PURCHASED | 6/24/2002 | 3/26/2009 |
| 20 | ROCKWELL COLLINS | PURCHASED | 2/20/2008 | 3/26/2009 |
| 21 | KRAFT FOODS | PURCHASED | 2/21/2008 | 3/26/2009 |
| 22 | IBM | PURCHASED | 10/14/2008 | 4/09/2009 |
| 23 | ALLSTATE | PURCHASED | VARIOUS | 4/27/2009 |
| 24 | FRESENIUS | PURCHASED | VARIOUS | 4/27/2009 |
| 25 | BELLSOUTH | PURCHASED | VARIOUS | 4/27/2009 |
| 26 | METLIFE | PURCHASED | 4/06/2009 | 5/08/2009 |

MAX KADE FOUNDATION, INC.

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STATEMENT 11 (CONTINUED)
 FORM 990-PF, PART IV, LINE 1
 CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

| ITEM | (A) DESCRIPTION | (B) HOW ACQUIRED | (C) DATE ACQUIRED | (D) DATE SOLD |
|------|--------------------------------|---------------------|----------------------|------------------|
| 27 | TOYOTA MOTOR CORP NEW | PURCHASED | 4/15/2009 | 5/12/2009 |
| 28 | AMERICAN GENERAL | PURCHASED | 5/11/2004 | 5/27/2009 |
| 29 | FHLB 4.125% DUE 11/15/06 | PURCHASED | 2/22/2008 | 5/27/2009 |
| 30 | PETROLO | PURCHASED | 9/08/2008 | 6/08/2009 |
| 31 | ALLSTATE | PURCHASED | 12/19/2007 | 6/09/2009 |
| 32 | ROCKWELL COLLINS | PURCHASED | VARIOUS | 6/09/2009 |
| 33 | ROYAL KPN NV SPON ADR | PURCHASED | 5/05/2008 | 6/09/2009 |
| 34 | ALLSTATE CORP | PURCHASED | 12/19/2007 | 8/06/2009 |
| 35 | EATON CORP | PURCHASED | 3/26/2009 | 8/06/2009 |
| 36 | PRUDENTIAL FINANCIAL | PURCHASED | 8/22/2007 | 8/16/2009 |
| 37 | PEPSICO | PURCHASED | 12/24/2008 | 8/18/2009 |
| 38 | BP PLC SPON ADR | PURCHASED | VARIOUS | 9/02/2009 |
| 39 | AT&T | PURCHASED | VARIOUS | 9/04/2009 |
| 40 | BELLSOUTH | PURCHASED | 9/21/2004 | 9/15/2009 |
| 41 | COCA COLA ENTERPRISES | PURCHASED | VARIOUS | 9/17/2009 |
| 42 | PFIZER INC | PURCHASED | 6/24/2002 | 10/16/2009 |
| 43 | COCA COLA ENTERPRISES | PURCHASED | 10/30/2008 | 10/16/2009 |
| 44 | PRINCIPAL LIFE CORE NOTES | PURCHASED | 8/22/2007 | 10/16/2009 |
| 45 | PROSHARES | PURCHASED | 5/12/2009 | 8/06/2009 |
| 46 | AT&T | PURCHASED | VARIOUS | 11/03/2009 |
| 47 | CVS | PURCHASED | 3/20/2009 | 11/06/2009 |
| 48 | CVS | PURCHASED | 9/25/2009 | 11/06/2009 |
| 49 | UNITED STATES NAT GAS | PURCHASED | VARIOUS | 11/13/2009 |
| 50 | 3M | PURCHASED | VARIOUS | 11/17/2009 |
| 51 | AMERICAN EXPRESS CO NTS | PURCHASED | 5/08/2009 | 11/23/2009 |
| 52 | BOEING | PURCHASED | 5/22/2003 | 11/30/2009 |
| 53 | FHLB 4.125% DUE 11/15/06 | PURCHASED | 6/25/2009 | 12/01/2009 |
| 54 | TIME WARNER | PURCHASED | 2/12/2009 | 12/14/2009 |
| 55 | UNTS FIRST TRUST GREATER CHINA | PURCHASED | 3/25/2009 | 12/15/2009 |
| 56 | JP MORGAN CAPITAL | PURCHASED | 12/08/2008 | 12/18/2009 |
| 57 | GNMA | PURCHASED | 9/09/2008 | 11/25/2009 |
| 58 | FHLMC M90755 | PURCHASED | 7/10/2008 | 7/24/2009 |
| 59 | GNMA | PURCHASED | 3/20/2003 | 9/16/2009 |
| 60 | CITIZENS BANK | PURCHASED | 6/05/2008 | 12/18/2009 |
| 61 | ORION BANK | PURCHASED | 3/11/2008 | 11/13/2009 |
| 62 | FHLMC MTN CALLABLE 5.5 | PURCHASED | 2/08/2008 | 5/05/2009 |
| 63 | CORP PROPERTY G/L | PURCHASED | VARIOUS | VARIOUS |
| 64 | CAPITAL GAIN LOSS PARTNERSHIP | PURCHASED | VARIOUS | VARIOUS |
| 65 | SHORT OPTIION INCOME | PURCHASED | VARIOUS | VARIOUS |
| 66 | LTCGL K1 | PURCHASED | 1/01/2006 | VARIOUS |

| ITEM | (E) GROSS SALES | (F) DEPREC. ALLOWED | (G) COST BASIS | (H) GAIN (LOSS) | (I) FMV 12/31/69 | (J) ADJ. BAS. 12/31/69 | (K) EXCESS (I) - (J) | (L) GAIN (LOSS) |
|------|-----------------------|---------------------------|----------------------|-----------------------|------------------------|------------------------------|----------------------------|-----------------------|
| 1 | 203,492. | | 494,130. | -290,638. | | | | \$-290,638. |
| 2 | 370,312. | | 611,935. | -241,623. | | | | -241,623. |
| 3 | 297,784. | | 500,000. | -202,216. | | | | -202,216. |
| 4 | 203,929. | | 257,882. | -53,953. | | | | -53,953. |
| 5 | 113,694. | | 145,022. | -31,328. | | | | -31,328. |
| 6 | 57,454. | | 5,650. | 51,804. | | | | 51,804. |
| 7 | 295,071. | | 538,443. | -243,372. | | | | -243,372. |
| 8 | 37,399. | | 84,528. | -47,129. | | | | -47,129. |
| 9 | 990,024. | | 1014005. | -23,981. | | | | -23,981. |
| 10 | 244,195. | | 250,000. | -5,805. | | | | -5,805. |
| 11 | 67,543. | | 158,485. | -90,942. | | | | -90,942. |

MAX KADE FOUNDATION, INC.

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STATEMENT 11 (CONTINUED)
 FORM 990-PF, PART IV, LINE 1
 CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

| ITEM | (E) GROSS SALES | (F) DEPREC. ALLOWED | (G) COST BASIS | (H) GAIN (LOSS) | (I) FMV 12/31/69 | (J) ADJ. BAS. 12/31/69 | (K) EXCESS (I) - (J) | (L) GAIN (LOSS) |
|------|-----------------------|---------------------------|----------------------|-----------------------|------------------------|------------------------------|----------------------------|-----------------------|
| 12 | 320,427. | | 517,091. | -196,664. | | | | \$-196,664. |
| 13 | 13,007. | | 35,583. | -22,576. | | | | -22,576. |
| 14 | 292,022. | | 474,658. | -182,636. | | | | -182,636. |
| 15 | 147,320. | | 250,000. | -102,680. | | | | -102,680. |
| 16 | 156,870. | | 250,000. | -93,130. | | | | -93,130. |
| 17 | 347,310. | | 469,681. | -122,371. | | | | -122,371. |
| 18 | 81,927. | | 103,079. | -21,152. | | | | -21,152. |
| 19 | 14,447. | | 34,156. | -19,709. | | | | -19,709. |
| 20 | 84,245. | | 148,293. | -64,048. | | | | -64,048. |
| 21 | 509,935. | | 508,485. | 1,450. | | | | 1,450. |
| 22 | 261,805. | | 246,270. | 15,535. | | | | 15,535. |
| 23 | 222,112. | | 83,932. | 138,180. | | | | 138,180. |
| 24 | 373,695. | | 501,155. | -127,460. | | | | -127,460. |
| 25 | 970,059. | | 895,656. | 74,403. | | | | 74,403. |
| 26 | 86,156. | | 63,496. | 22,660. | | | | 22,660. |
| 27 | 382,336. | | 385,556. | -3,220. | | | | -3,220. |
| 28 | 430,945. | | 500,000. | -69,055. | | | | -69,055. |
| 29 | 1000000. | | 1008005. | -8,005. | | | | -8,005. |
| 30 | 85,675. | | 93,020. | -7,345. | | | | -7,345. |
| 31 | 125,226. | | 252,853. | -127,627. | | | | -127,627. |
| 32 | 459,240. | | 514,140. | -54,900. | | | | -54,900. |
| 33 | 31,686. | | 46,177. | -14,491. | | | | -14,491. |
| 34 | 135,178. | | 252,853. | -117,675. | | | | -117,675. |
| 35 | 528,194. | | 392,737. | 135,457. | | | | 135,457. |
| 36 | 444,640. | | 500,000. | -55,360. | | | | -55,360. |
| 37 | 232,824. | | 239,531. | -6,707. | | | | -6,707. |
| 38 | 131,071. | | 77,200. | 53,871. | | | | 53,871. |
| 39 | 82,191. | | 8,977. | 73,214. | | | | 73,214. |
| 40 | 1000000. | | 1018635. | -18,635. | | | | -18,635. |
| 41 | 658,148. | | 553,737. | 104,411. | | | | 104,411. |
| 42 | 17,520. | | 34,156. | -16,636. | | | | -16,636. |
| 43 | 578,965. | | 516,045. | 62,920. | | | | 62,920. |
| 44 | 487,545. | | 500,000. | -12,455. | | | | -12,455. |
| 45 | 426,609. | | 411,525. | 15,084. | | | | 15,084. |
| 46 | 252,688. | | 181,903. | 70,785. | | | | 70,785. |
| 47 | 660,427. | | 625,775. | 34,652. | | | | 34,652. |
| 48 | 529,215. | | 545,776. | -16,561. | | | | -16,561. |
| 49 | 225,744. | | 346,754. | -121,010. | | | | -121,010. |
| 50 | 199,633. | | 193,943. | 5,690. | | | | 5,690. |
| 51 | 792,182. | | 729,373. | 62,809. | | | | 62,809. |
| 52 | 500,000. | | 534,385. | -34,385. | | | | -34,385. |
| 53 | 700,000. | | 699,655. | 345. | | | | 345. |
| 54 | 538,540. | | 496,255. | 42,285. | | | | 42,285. |
| 55 | 122,225. | | 74,992. | 47,233. | | | | 47,233. |
| 56 | 186,750. | | 150,000. | 36,750. | | | | 36,750. |
| 57 | 0. | | 50,005. | -50,005. | | | | -50,005. |
| 58 | 0. | | 55,630. | -55,630. | | | | -55,630. |
| 59 | 0. | | 33,093. | -33,093. | | | | -33,093. |
| 60 | 95,000. | | 95,000. | 0. | | | | 0. |
| 61 | 95,000. | | 95,000. | 0. | | | | 0. |
| 62 | 1250000. | | 1250000. | 0. | | | | 0. |
| 63 | 0. | | 921. | -921. | | | | -921. |
| 64 | 116,170. | | 0. | 116,170. | | | | 116,170. |

MAX KADE FOUNDATION, INC.

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STATEMENT 11 (CONTINUED)
FORM 990-PF, PART IV, LINE 1
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

| ITEM | (E) GROSS SALES | (F) DEPREC. ALLOWED | (G) COST BASIS | (H) GAIN (LOSS) | (I) FMV 12/31/69 | (J) ADJ. BAS. 12/31/69 | (K) EXCESS (I) - (J) | (L) GAIN (LOSS) |
|------|-----------------------|---------------------------|----------------------|-----------------------|------------------------|------------------------------|----------------------------|-----------------------|
| 65 | 25,782. | | 0. | 25,782. | | | | \$ 25,782. |
| 66 | 83,521. | | 0. | 83,521. | | | | 83,521. |
| | | | | | | | TOTAL | <u>\$-1732118.</u> |

STATEMENT 12
FORM 990-PF, PART VIII, LINE 1
LIST OF OFFICERS, DIRECTORS, TRUSTEES, AND KEY EMPLOYEES

| NAME AND ADDRESS | TITLE AND AVERAGE HOURS PER WEEK DEVOTED | COMPEN- SATION | CONTRI- BUTION TO EBP & DC | EXPENSE ACCOUNT/ OTHER |
|---|--|--------------------|----------------------------------|------------------------------|
| GUENTER BLOBEL 6 EAST 87TH STREET NEW YORK, NY 10128 | DIRECTOR 0 | \$ 0. | \$ 0. | \$ 0. |
| BERTELINE BAIER DALE 6 EAST 87TH STREET NEW YORK, NY 10128 | SECRETARY 0 | | 0. | 0. |
| FRITZ KADE, JR. MD 6 EAST 87TH STREET NEW YORK, NY 10128 | DIRECTOR 0 | | 0. | 0. |
| LYA FRIEDRICH PFEIFER 6 EAST 87TH STREET NEW YORK, NY 10128 | PRES. & TREAS. 40.00 | 189,448. | | 0. |
| REINHARD AUGUSTIN 6 EAST 87TH STREET NEW YORK, NY 10128 | DIRECTOR 0 | | 0. | 0. |
| | TOTAL | <u>\$ 189,448.</u> | <u>\$ 0.</u> | <u>\$ 0.</u> |

STATEMENT 13
FORM 990-PF, PART XV, LINE 2A-D
APPLICATION SUBMISSION INFORMATION

| | |
|------------------------|--|
| NAME OF GRANT PROGRAM: | |
| NAME: | MAX KADE FOUNDATION |
| CARE OF: | LYA FRIEDRICH PFEIFER |
| STREET ADDRESS: | 6 EAST 87TH STREET |
| CITY, STATE, ZIP CODE: | NEW YORK, NY 10128-0505 |
| TELEPHONE: | 646-672-4354 |
| FORM AND CONTENT: | WRITTEN APPLICATIONS SHOULD SET FORTH OBJECTIVES AND METHODS FOR IMPLEMENTATION, QUALIFICATIONS OF THE INSTITUTION, ACADEMIC QUALIFICATIONS OF PERSONS INVOLVED AND THE ESTIMATED COST |

MAX KADE FOUNDATION, INC.

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STATEMENT 13 (CONTINUED)
FORM 990-PF, PART XV, LINE 2A-D
APPLICATION SUBMISSION INFORMATION

| | |
|-------------------------|--|
| SUBMISSION DEADLINES: | WRITTEN APPLICATIONS ARE ACCEPTED AT ANY REASONABLE TIME |
| RESTRICTIONS ON AWARDS: | PROPOSALS ARE ONLY ACCEPTED FROM PUBLICLY SUPPORTED |
| | CHARITABLE ORGANIZATIONS AND NO GRANTS ARE MADE TO |
| | INDIVIDUALS. |

STATEMENT-SCHEDULE TO PART XV, LINE 3A**MAX KADE FOUNDATION, INC.**

I.D NO 13-5658082

DESCRIPTION OF GRANTS MADE IN 2009

| Name and Address of Grantee / Description of Grant or Project | Amount of Grant |
|---|-----------------|
|---|-----------------|

The following grants, listed according to field or title, were made in 2009. The name and address of the recipient institutions and a brief description of the project or the purpose of said grants follows the title. The amounts listed are the grant payments made during the calendar year ended December 31, 2009.

Grants are generally awarded only to U.S. colleges, universities, research institutions and other educational organizations.
No grants are made to individuals.

I. GRANTS MADE TO EDUCATIONAL INSTITUTIONS TOWARD SUPPORT OF POSTDOCTORAL RESEARCH EXCHANGE PROGRAMS

The Postdoctoral Research Exchange Program offers assistance to American universities and qualified research institutions for postdoctoral exchange research projects. The participating universities determine the research project, designate the project director responsible for training and research, and select the research scholars. Visiting scholars are nominated by their home institutions and are screened by the respective Academy of Sciences. The final selection and acceptance, however, is left to the decision of the sponsoring U.S. university or research institution.

Participating institutions receiving the grants are characterized by highest quality of research activity and a strong faculty, committed to training and research in medicine or in the natural and physical sciences. Research scholars admitted by said institutions must hold doctoral degrees in the discipline in which they intend to conduct research.

| | |
|---|--------------|
| BETH ISRAEL DEACONESS MEDICAL CENTER, INC, Boston, MA Research and training in the field of medicine, focusing on the study of the role of the cytoprotective gene on immune function of T-cells, by Dr. Rodrig Marculescu, under the direction of Dr. Beek Yoke Chin, by the Department of Surgery | \$ 61,600.00 |
| UNIVERSITY OF CALIFORNIA, Los Angeles, CA Research and training in the field of medicine, focusing on the study of functional and structural imaging in people with age-related memory loss, by Dr. Markus Donix, under the direction of Dr. Peter Whybrow, by the Department of Psychiatry. | \$ 20,150.00 |
| UNIVERSITY OF CALIFORNIA REGENTS, San Francisco, CA Research and training in the field of chemistry, focusing on the study of related protein pharmacology, by Dr. Christian Laggner, under the direction of Dr. Brian Shoichet, by the Department of Chemistry | \$ 23,250.00 |
| CHILDREN'S HOSPITAL, Boston, MA Research and training in the field of chemistry, focusing on the study of related protein pharmacology, by Dr. Christian Laggner, under the direction of Dr. Brian Shoichet, by the Department of Chemistry. | \$ 56,000.00 |
| UNIVERSITY OF HAWAII AT MANOA, Honolulu, HI Research and training in the field of chemistry, focusing on the study of the synthesis of nakademarin A, by Dr. Daniela Rosenbeiger, under the direction of Dr. Marcus A. Tius, by the Department of Chemistry. | \$ 49,000.00 |
| HOSPITAL FOR SPECIAL SURGERY, New York, NY Research and training in the field of medicine, focusing on the study of computer assisted surgical applications for orthopedics, by Dr. Musa Citak, under the direction of Dr. Andrew Pearle, by the Department of Orthopedic Surgery. | \$ 44,300.00 |
| MASSACHUSETTS GENERAL HOSPITAL, Boston, MA Research and training in the field of medicine, focusing on the study of the antioxidant properties of vitamin E in the reconstruction of human joints, by Dr. Christian Wolf, under the direction of Dr. Orhun Muratoglu, by the Department of Orthopedic Surgery. | \$ 49,000.00 |

MAX KADE FOUNDATION, INC.

ID NO 13-5658082

DESCRIPTION OF GRANTS MADE IN 2009

| Name and Address of Grantee / Description of Grant or Project | Amount of Grant |
|--|-----------------|
| MASSACHUSETTS INSTITUTE OF TECHNOLOGY, Cambridge, MA Research and training in the field of Engineering, focusing on the study of phase transformations in heat resistant steels, by Dr. Peter Mayr, under the direction of Dr Samuel Allen, by the Department of Engineering | \$ 56,000 00 |
| MEMORIAL SLOAN-KETTERING CANCER CENTER, New York, NY Research and training in the field of medicine, focusing on the study of Newcastle disease virus on Mesothelial cancer, by Dr Gerd Silberhumer, under the direction of Dr Yuman Fong, by the Department of Surgery | \$ 23,250 00 |
| THE SCRIPPS RESEARCH INSTITUTE, La Jolla, CA Research and training in the field of biology, focusing on the study of inflammatory cells and their products mediating tumor dissemination, by Dr. Bernhard Schweighofer, under the direction of Dr James P. Quigley, by the Department of Cell Biology | \$ 56,000 00 |
| STANFORD UNIVERSITY, Stanford, CA Research and training in the field of chemistry, focusing on the study of stem cells for cell therapy of muscular dystrophies, by Dr. Marisa Karow, under the direction of Dr Michele Calos, by the Department of Genetics | \$ 43,800 00 |
| YALE UNIVERSITY, New Haven, CT Research and training in the field of biophysics, focusing on the study of oxidative stress in aggregation and membrane interaction of a-synuclein implications for Parkinson's disease, by Dr. Eva Sevcsik, under the direction of Dr. Elizabeth Rhoades, by the Department of Molecular Biophysics | \$ 49,000 00 |
| | <hr/> |
| | \$ 531,350.00 |

II. GRANTS MADE TO EDUCATIONAL INSTITUTIONS IN SUPPORT OF VISITING FACULTY EXCHANGE PROGRAMS

In view of the conviction that exceptional students must be exposed to distinguished minds to stimulate and inspire them, and in the belief that the exchange of scholars is not only essential to the advancement of knowledge, but it is also one of the most promising roads for better understanding, the Foundation made limited funds available for "Distinguished Visiting Professorships" in the field of foreign language and literature.

These grants are made to encourage the recipient institutions to enlist some outstanding scholars, to enrich the intellectual development of the university and to make possible a special effort in a particular field. The selection of the scholars is left to the independent judgment of the university. These awards are granted on a challenge basis to supplement the cost so as to provide incentive for enlisting the interest and active support for the institutions in question.

| | |
|---|--------------|
| ALLEGHENY COLLEGE, Meadville, PA In support of its Writer-in-Residence-Johano Strasser | \$ 12,000.00 |
| AMERICAN FRIENDS OF BUCERIUS LAW SCHOOL, INC , Baltimore, MD In support of its Visiting Professor of Law-Peter Hay | \$ 13,500 00 |
| BOWLING GREEN STATE UNIVERSITY, Bowling Green, OH In support of its Writer-in-Residence-Dieter Sperl | \$ 12,000 00 |
| BROWN UNIVERSITY, Providence, RI In support of its Visiting Professor-Bernd Stiegler | \$ 14,000 00 |
| REGENTS OF THE UNIVERSITY OF CALIFORNIA, Davis, CA In support of its Visiting Professor-Inge Stephan | \$ 12,000.00 |

MAX KADE FOUNDATION, INC.

I.D. NO. 13-5658082

DESCRIPTION OF GRANTS MADE IN 2009

| Name and Address of Grantee / Description of Grant or Project | Amount of Grant |
|---|-----------------|
| UNIVERSITY OF CALIFORNIA REGENTS, Santa Barbara, CA In support of its Visiting Professor-Bernhard Dotzler | \$ 16,000 00 |
| UNIVERSITY OF CALIFORNIA REGENTS, Berkeley, CA In support of its Visiting Professor-Jan Dirk Mueller | \$ 10,000.00 |
| UNIVERSITY OF CINCINNATI, Cincinnati, OH In support of its Visiting Professor-Christina Ivanovic | \$ 12,000 00 |
| COLGATE UNIVERSITY, Hamilton, NY In support of its Max Kade Teaching Fellowship-C Ludt | \$ 14,600 00 |
| COLUMBIA UNIVERSITY, New York, NY In support of its Visiting Professor-Gabriele Dietze | \$ 13,000.00 |
| DARTMOUTH COLLEGE, Hanover, NH In support of its Visiting Professor-Margareth Obexer | \$ 12,000.00 |
| UNIVERSITY OF ILLINOIS, Urbana-Champaign, IL In support of its Visiting Professor-Andrea Grafetstaetter | \$ 14,000.00 |
| INDIANA UNIVERSITY, Bloomington, IN In support of its Visiting Professor-Klaus Schultz | \$ 8,000 00 |
| THE UNIVERSITY OF IOWA, Iowa City, IA In support of its Writer-in-Residence-Andreas Weber | \$ 9,500.00 |
| KANSAS UNIVERSITY ENDOWMENT ASSOCIATION, Lawrence, KS In support of its Visiting Professor-Dieter Lohmeier | \$ 10,000.00 |
| LAFAYETTE COLLEGE, Easton, PA In support of its Writer-in-Residence- Daniela Dahn | \$ 12,000 00 |
| MASSACHUSETTS INSTITUTE OF TECHNOLOGY, Cambridge, MA In support of its Writer-in-Residence-Sasa Stanisic | \$ 12,000 00 |
| MIDDLEBURY COLLEGE, Middlebury, VT In support of its Visiting Professors (4) for German Summer Program | \$ 48,000 00 |
| THE UNIVERSITY OF NEW MEXICO, Albuquerque, NM In support of its German Summer School '09 - Professors & Students | \$ 30,000.00 |
| NEW YORK UNIVERSITY, New York, NY In support of its Writer-in-Residence | \$ 5,400.00 |
| UNIVERSITY OF NOTRE DAME, Notre Dame, IN In support of its Visiting Professor-Carsten Dutt | \$ 14,000 00 |
| OBERLIN COLLEGE, Oberlin, OH In support of its Writer-in-Residence-Barbara Koehler | \$ 12,000 00 |
| THE OHIO STATE UNIVERSITY, Columbus, OH In support of its Visiting Professor-Alexander Kosenina | \$ 10,000.00 |
| THE PENNSYLVANIA STATE UNIVERSITY, University Park, PA In support of its Visiting Professor-Ulrike Brunotte | \$ 15,000 00 |

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DESCRIPTION OF GRANTS MADE IN 2009

| Name and Address of Grantee / Description of Grant or Project | Amount of Grant |
|---|----------------------|
| PORTLAND STATE UNIVERSITY, Portland, OR | \$ 36,000.00 |
| In support of its Deutsche Sommerschule am Pazifik (6 profs @ \$6,000 each) | |
| PORTLAND STATE UNIVERSITY, Portland, OR | \$ 6,000.00 |
| In support of its Deutsche Sommerschule am Pazifik 16 lecturers | |
| UNIVERSITY OF RHODE ISLAND, Kingston, RI | \$ 15,000 00 |
| In support of its Deutsche Sommerschule am Atlantik (14 teachers, 2 students) | |
| RUTGERS UNIVERSITY FOUNDATION, New Brunswick, NJ | \$ 12,000 00 |
| In support of its Writer-in-Residence-Michael Stavaric | |
| VANDERBILT UNIVERSITY, Nashville, TN | \$ 14,000 00 |
| In support of its Visiting Professorship-Hermann Kappelhoff | |
| UNIVERSITY OF VIRGINIA, Charlottesville, VA | \$ 10,000 00 |
| In support of its Visiting Professor-Christina von Braun | |
| UNIVERSITY OF WASHINGTON, Seattle, WA | \$ 8,000 00 |
| In support of its Visiting Professor-Albrecht Koschorke | |
| WASHINGTON UNIVERSITY, St. Louis, MO | \$ 19,500 00 |
| In support of its Writer & Critic in Res.-Treichel & Pfoser | |
| UNIVERSITY OF WISCONSIN, Madison, WI | \$ 10,000 00 |
| In support of its Visiting Professor-Erdmut Wizisla | |
| | <u>\$ 471,500 00</u> |

III. GRANTS MADE TO EDUCATIONAL INSTITUTIONS FOR THE TRAINING OF LANGUAGE TEACHERS AND GRADUATE STUDY ABROAD AND INTERNATIONAL CONFERENCES

This program seeks to offer assistance to American universities and colleges in their effort to increase the competence of prospective academic experience abroad. The concept of study at a foreign university is the most hopeful means of approaching efficiency in a foreign language and culture.

The grants are awarded to the universities. This selection of qualified graduate candidates is left to the independent judgment of the participating universities.

| | |
|--|--------------|
| ALLEGHENY COLLEGE, Meadville, PA | \$ 2,000 00 |
| In support of its Student exchange programs with Tuebingen and Cologne (5 @ \$1,000 each, less \$3,000 credit) | |
| THE AMERICAN AUSTRIAN FOUNDATION, INC., New York, NY | \$ 48,000 00 |
| In support of its Exchange program for 30 US medical students to study in Austria \$1,600 each | |
| THE AMERICAN AUSTRIAN FOUNDATION, INC, New York, NY | \$ 20,000.00 |
| In support of its program for 10 Austrian medical students doing clerkships in the USA during 2009. | |
| THE UNIVERSITY OF ARIZONA, Tucson, AZ | \$ 28,000.00 |
| In support of two Graduate Fellowships @ \$14,000 each (Koehler-Curry & Carlson). | |
| MARTINA ARROYO FOUNDATION, INC., New York, NY | \$ 15,000.00 |
| In support of its 2009 Prelude to Performance program. | |

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DESCRIPTION OF GRANTS MADE IN 2009

| Name and Address of Grantee / Description of Grant or Project | Amount of Grant |
|--|-----------------|
| BATES COLLEGE, Lewiston, ME In support of its Max Kade award for best article in Modern Austrian Literature | \$ 1,500 00 |
| BOWLING GREEN STATE UNIVERSITY FOUNDATION, INC, Bowling Green, OH In support of its Summer in Salzburg program for one high-school teacher | \$ 500.00 |
| BRANDEIS UNIVERSITY, Waltham, MA In support of Travel for 10 students studying in Germany in summer 2009. | \$ 10,000 00 |
| UNIVERSITY OF CALGARY, Calgary, Alberta, In support of its Germanic Linguistics Annual Conference | \$ 4,000 00 |
| UNIVERSITY OF CALIFORNIA REGENTS, Berkeley, CA In support of three graduate fellowships @ \$14,000 each (Dziedziak, Edwards, Farwell) | \$ 42,000 00 |
| UNIVERSITY OF CALIFORNIA REGENTS, Berkeley, CA In support of its Travel support for 14 students studying in Germany in summer of 2009 (Various cities) | \$ 14,000 00 |
| REGENTS OF THE UNIVERSITY OF CALIFORNIA, Davis, CA In support of one graduate fellowship in German Studies (K Deifel) | \$ 14,000 00 |
| UNIVERSITY OF CALIFORNIA REGENTS, Santa Barbara, CA In support of one graduate fellowship in German Studies (T Tubb) | \$ 14,000 00 |
| CARNEGIE MELLON UNIVERSITY, Pittsburgh, PA In support of Travel for 5 students @ \$1,200 each, to attend summer study program at Goethe Institutes in Germany | \$ 6,000 00 |
| CASE WESTERN RESERVE UNIVERSITY, Cleveland, OH In support of a two-week workshop on German culture "American German reflections on each other". | \$ 7,000.00 |
| CASE WESTERN RESERVE UNIVERSITY, Cleveland, OH In support of Travel grants for students in Munich Experience program in summer of 2009 (16 @ 1,000) | \$ 16,000.00 |
| UNIVERSITY OF CINCINNATI, Cincinnati, OH In support of its two Graduate Fellowships @ \$14,000 each -(Ogden & Buesch) | \$ 28,000 00 |
| THE COLORADO COLLEGE, Colorado Springs, CO In support of its Study Abroad Program -2 students @ 1,500 each-full year in Regensburg and Goettingen | \$ 3,000.00 |
| THE COLORADO COLLEGE, Colorado Springs, CO In support of its Study Abroad Lueneburg-spring semester 2 @ \$500, 5 @ \$250. | \$ 2,250.00 |
| UNIVERSITY OF COLORADO FOUNDATION, INC., Boulder, CO In support of its Study abroad in Germany (Berlin & Regensburg) 10 @ \$1,000 each | \$ 10,000 00 |
| UNIVERSITY OF COLORADO FOUNDATION, INC , Boulder, CO In support of its Two graduate fellowships @ \$13,000 each (Hicks & Maurer) | \$ 26,000.00 |
| COLUMBIA UNIVERSITY, New York, NY In support of its Summer study abroad in Berlin for German undergrad students~10 @ \$1,000 each | \$ 10,000.00 |
| CONCORDIA COLLEGE, Moorhead, MN In support of its German summer credit abroad program for high-school students 4 @ 2,500 each | \$ 10,000.00 |
| DUKE UNIVERSITY, Durham, NC In support of its Max Kade prize for best article published in the German Quarterly in 2008 (Elisabeth Krimmer) | \$ 1,500.00 |

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DESCRIPTION OF GRANTS MADE IN 2009

| Name and Address of Grantee / Description of Grant or Project | Amount of Grant |
|--|-----------------|
| ELYSIUM-BETWEEN TWO CONTINENTS, INC., New York, NY In support of its summer program for young singers to study German operas in Bernried, Germany | \$ 25,000 00 |
| EMORY UNIVERSITY, Atlanta, GA In support of its summer study abroad in Vienna-4 scholarships @ \$3,500 each | \$ 14,000.00 |
| FLORIDA STATE UNIVERSITY FOUNDATION, Tallahassee, FL In support of its student exchange program with Studentenwerk Dresden 2009-20 students | \$ 10,000 00 |
| FRIENDS OF THE ATLANTIK-BRUECKE E V FOUNDATION, INC , New York, NY In support of its 2008-09 high school student exchange program between the US and Germany | \$ 20,000 00 |
| FRIENDS OF DRESDEN, INC , New York, NY In support of an exhibition commemorating the 600th anniversary of Leipzig University, held in NYC | \$ 4,000 00 |
| FRIENDS OF GOETHE NEW YORK, INC, New York, NY In support of the cultural programs of the Goethe Institute | \$ 10,000 00 |
| GEORGETOWN UNIVERSITY, Washington, DC In support of its Transatlantic student symposium on "The End of the West in the East", held in Berlin | \$ 10,000 00 |
| GERMAN-AMERICAN COMMITTEE OF GREATER NEW YORK, INC , New York, NY In support of the 2009 German American Steuben Parade celebrating German history and culture. | \$ 5,000 00 |
| GERMAN-AMERICAN PARTNERSHIP PROGRAM INC , New York, NY In support of travel for 31 high-school students in GAPP Exchange programs in Germany in summer 2009 | \$ 20,000 00 |
| GERMANISTIC SOCIETY OF AMERICA, INC , QUADRILLE ACCOUNT, New York, NY In support of its Scholarship fund for graduate study abroad | \$ 10,000.00 |
| THE HUNTER COLLEGE FOUNDATION, INC , New York, NY In support of its Conference on "Hamann and the Tradition", to bring 3 European experts to speak. | \$ 4,500.00 |
| THE HUNTER COLLEGE FOUNDATION, INC., New York, NY In support of Travel for summer study in Kassel Germany (15 @ \$1,000 each) | \$ 15,000.00 |
| THE HUNTER COLLEGE FOUNDATION, INC., New York, NY In support of a lecture by Thomas Pletzinger | \$ 500.00 |
| UNIVERSITY OF ILLINOIS, Chicago, IL In support of Travel grants for undergrads to study in Berlin during summer of 2009 (8 @ \$1,000 each). | \$ 8,000.00 |
| UNIVERSITY OF ILLINOIS, Chicago, IL In support of Three Graduate Fellowships @ \$15,000 each (Meyer, Linton, Deshpande) | \$ 45,000.00 |
| UNIVERSITY OF ILLINOIS AT URBANA-CHAMPAIGN, Urbana, IL In support of one Graduate Fellowship-(Amanda Sheffer) | \$ 13,000 00 |
| INDIANA UNIVERSITY, Bloomington, IN In support of its Graduate Fellowship Program in German Studies 5 @ \$16,000 (1st half) | \$ 40,000 00 |
| INDIANA UNIVERSITY, Bloomington, IN In support of its Graduate Fellowship Program in German Studies 5 @ \$16,000 (2nd half). | \$ 40,000 00 |
| INDIANA UNIVERSITY, Indianapolis, IN In support of Two Graduate Fellowships @ \$10,000 each (Gagen, Weber) | \$ 20,000 00 |
| INDIANA UNIVERSITY FOUNDATION, Bloomington, IN In support of its Conference on Post 1945 German Thought on War, Peace & Int'l Law | \$ 5,000 00 |
| THE UNIVERSITY OF IOWA, Iowa City, IA In support of Travel for study abroad programs in Germany (8 @ \$1,000 each). | \$ 8,000 00 |

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| Name and Address of Grantee / Description of Grant or Project | Amount of Grant |
|---|-----------------|
| KANSAS UNIVERSITY ENDOWMENT ASSOCIATION, Lawrence, KS In support of Travel for two teachers conducting a summer study trip to Eutin, Germany for high school students | \$ 2,000 00 |
| KANSAS UNIVERSITY ENDOWMENT ASSOCIATION, Lawrence, KS In support of Four graduate fellowships in German Studies @ \$14,000 each (Peterson, Trumpold, Dove, Gruenbaum). | \$ 56,000.00 |
| UNIVERSITY OF KENTUCKY, Lexington, KY In support of One Graduate Fellowship (Annika Sterzenbach). | \$ 15,000 00 |
| LIEDERKRANZ FOUNDATION, INC. , New York, NY In support of its First prize scholarship award in voice competition | \$ 8,000 00 |
| LIEDERKRANZ FOUNDATION, INC , New York, NY In support of its cultural activities, specifically its 162nd anniversary chorus concert | \$ 2,500 00 |
| LIEDERKRANZ FOUNDATION, INC , New York, NY In support of the US Army Chorus performance of German music | \$ 9,500.00 |
| LOYOLA COLLEGE, Baltimore, MD In support of a German Literature Seminar in Berlin. | \$ 5,000 00 |
| MASSACHUSETTS INSTITUTE OF TECHNOLOGY, Cambridge, MA In support of its seminar "Germany Today" to prepare students going to Germany | \$ 5,000 00 |
| MASSACHUSETTS INSTITUTE OF TECHNOLOGY, Cambridge, MA In support of Travel for 9 students attending MIT in Germany summer program (various cities) | \$ 7,000 00 |
| THE METROPOLITAN OPERA ASSOCIATION, INC., New York, NY In support of its Lindemann Young Artist development program for the study of German during 2009/10 | \$ 125,000.00 |
| MIAMI UNIVERSITY, Oxford, OH In support of an International symposium on German Jewish Relations | \$ 6,000 00 |
| MIAMI UNIVERSITY, Oxford, OH In support of a Study trip to Berlin (5 travel grants of \$500 each) | \$ 2,500 00 |
| MICHIGAN STATE UNIVERSITY, East Lansing, MI In support of Two graduate fellowships @ \$14,000 each (Sikarskie & Schenker) | \$ 28,000 00 |
| MIDDLEBURY COLLEGE, Middlebury, VT In support of its Summer language program for gifted singers, pianists and master class teachers | \$ 27,000.00 |
| MIDDLEBURY COLLEGE, Middlebury, VT In support of its Audition training program & workshop for German singers | \$ 5,000 00 |
| UNIVERSITY OF MINNESOTA, Minneapolis, MN In support of One Graduate Fellowship in German Studies-P. Mersch | \$ 18,000.00 |
| UNIVERSITY OF MINNESOTA, Minneapolis, MN In support of Travel grants for German major undergrads for study in Germany (2-summer, 2-full yr) | \$ 4,000 00 |
| UNIVERSITY OF MINNESOTA, Minneapolis, MN In support of its Study abroad program in Wittenberg, Germany (6 high school teachers @ \$2,500 each). | \$ 15,000 00 |
| MONTEREY INSTITUTE OF INTERNATIONAL STUDIES, Monterey, CA In support of One Graduate Fellowship in German studies (A Rueppell) | \$ 14,000 00 |
| NEW YORK UNIVERSITY, New York, NY In support of its Exchange program with Berlin-Spring in New York 2009 (6 Berlin students @ \$4,000 each) | \$ 24,000 00 |
| NEW YORK FOUNDATION FOR THE ARTS, INC., New York, NY In support of the Study, training and performance of Wagner Program | \$ 25,000 00 |
| THE OHIO STATE UNIVERSITY, Columbus, OH In support of its Graduate School Experience Summer workshop to stimulate graduate study abroad | \$ 11,700 00 |
| THE OHIO STATE UNIVERSITY, Columbus, OH In support of Travel for 24 students in Dresden Summer Study program | \$ 23,000.00 |
| UNIVERSITY OF PENNSYLVANIA, Philadelphia, PA In support of Three graduate fellowships in German studies @ \$15,000 each (deOrto, Tanguay, West) | \$ 45,000 00 |

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| Name and Address of Grantee / Description of Grant or Project | Amount of Grant |
|---|------------------------|
| PATERSON DIOCESE, Clifton, NJ In support of a Christmas concert at St John the Baptist Cathedral | \$ 4,000 00 |
| PRINCETON UNIVERSITY, Princeton, NJ Munich. | \$ 45,500.00 |
| PRINCETON UNIVERSITY, Princeton, NJ In support of Travel fellowships for 24 undergraduates in summer work program in Germany | \$ 24,000 00 |
| PRINCETON UNIVERSITY, Princeton, NJ In support of One Graduate Fellowship -teaching assistant to director of summer work program (Lisa Cerami) | \$ 13,000.00 |
| THE RESEARCH FOUNDATION OF THE STATE UNIVERSITY OF NEW YORK, Stony Brook, NY In support of Three graduate students in philosophy exchange program in Germany (3@\$13,500 each) | \$ 40,500 00 |
| UNIVERSITY OF RHODE ISLAND FOUNDATION, Kingston, RI In support of Three graduate fellowships @ \$12,000 each in Dual Degree program. | \$ 36,000.00 |
| RIPON COLLEGE, Ripon, WI In support of Travel grants for undergrads in study abroad program in Bonn (4 @ \$1,000 each). | \$ 4,000 00 |
| RUTGERS UNIVERSITY FOUNDATION, New Brunswick, NJ In support of Travel for Rutgers Summer study in Berlin 20 @ \$1,200 each. | \$ 24,000.00 |
| RUTGERS UNIVERSITY FOUNDATION, New Brunswick, NJ In support of One Graduate Fellowship in German Studies (D O'Neal). | \$ 15,000.00 |
| THE UNIVERSITY OF TEXAS AT AUSTIN, Austin, TX In support of One Graduate Fellowship in German Studies (J. Plummer) | \$ 14,000 00 |
| VALPARAISO UNIVERSITY, Valparaiso, IN In support of its exchange program with Tuebingen (3 fellowships @ 4,000 each and 1 fellowship @ \$2,000) | \$ 14,000.00 |
| VANDERBILT UNIVERSITY, Nashville, TN In support of its Graduate Fellowships-5 year program Year 1-4 @ \$7,500 each | \$ 30,000.00 |
| VANDERBILT UNIVERSITY, Nashville, TN In support of its project commemorating the 20th anniversary of the Fall of the Berlin Wall. | \$ 5,000.00 |
| UNIVERSITY OF WASHINGTON, Seattle, WA In support of Three graduate fellowships @ \$15,000 each (Albiero, Aja, Hogan). | \$ 45,000.00 |
| UNIVERSITY OF WASHINGTON, Seattle, WA In support of Travel support for 5 students in exchange program with Tuebingen. | \$ 5,000 00 |
| WASHINGTON UNIVERSITY, St. Louis, MO In support of its Summer Dissertation program in contemporary German literature. | \$ 3,500 00 |
| WASHINGTON UNIVERSITY, St. Louis, MO In support of its Max Kade Graduate Research Assistant (Carolyn Rocks) | \$ 15,000.00 |
| WAYNE STATE UNIVERSITY, Detroit, MI In support of its Junior Year in Munich Program | \$ 25,000 00 |
| WAYNE STATE UNIVERSITY, Detroit, MI In support of its Munich Summer fellows program for 2009 (15 @ \$1,085 each) | \$ 16,275.00 |
| UNIVERSITY OF WISCONSIN FOUNDATION, Madison, WI In support of its International conference on Excursions in German-American studies | \$ 5,000.00 |
| REGENTS OF THE UNIVERSITY OF WISCONSIN, Madison, WI In support of its Academic Year in Freiburg program | \$ 25,000 00 |
| WYCKOFF FAMILY YMCA, Wyckoff, NJ In support of its cultural activities including theater, arts and concerts. | \$ 20,000 00 |
| YALE UNIVERSITY, New Haven, CT In support of Travel for students attending summer programs in Baden Wuerttemberg and Berlin, Germany. | \$ 20,000 00 |
| | <u>\$ 1,591,725 00</u> |

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DESCRIPTION OF GRANTS MADE IN 2009

| Name and Address of Grantee / Description of Grant or Project | Amount of Grant |
|---|-----------------|
|---|-----------------|

IV. GRANTS MADE TO EDUCATIONAL INSTITUTIONS FOR EQUIPMENT OF MAX KADE LANGUAGE CENTERS AND FOR OTHER CHARITABLE ACTIVITIES

These grants are closely related to the program of language study and the effort to increase the competence of language teachers. In order to strengthen quality and effectiveness of teaching and learning of foreign languages, the Foundation has established, at various areas of the U.S., language centers (Max Kade Houses) at qualified universities and colleges. The facilities made available usually include meeting and lecture rooms, lounges, sleeping quarters, as well as a library.

The following grants were made for equipment of said language centers and other charitable activities to the institutions named hereinafter.

| | |
|---|--------------|
| ALLEGHENY COLLEGE, Meadville, PA | \$ 6,000.00 |
| BELMONT UNIVERSITY, Nashville, TN | \$ 6,000.00 |
| CASE WESTERN RESERVE UNIVERSITY, Cleveland, OH | \$ 6,000.00 |
| THE UNIVERSITY OF CHICAGO, Chicago, IL | \$ 5,000.00 |
| UNIVERSITY OF CINCINNATI, Cincinnati, OH | \$ 6,000.00 |
| COLGATE UNIVERSITY, Hamilton, NY | \$ 6,000.00 |
| UNIVERSITY OF COLORADO FOUNDATION, INC., Boulder, CO For the renovation and furnishing of the Max Kade German Room | \$ 40,000.00 |
| UNIVERSITY OF COLORADO FOUNDATION, INC., Boulder, CO | \$ 5,000.00 |
| THE COLORADO COLLEGE, Colorado Springs, CO | \$ 6,000.00 |
| COLUMBIA UNIVERSITY, New York, NY | \$ 5,000.00 |
| CONCORDIA COLLEGE, Moorhead, MN | \$ 6,000.00 |
| CORNELL UNIVERSITY, Ithaca, NY | \$ 5,000.00 |
| DARTMOUTH COLLEGE, Hanover, NH | \$ 6,000.00 |
| DICKINSON COLLEGE, Carlisle, PA | \$ 6,000.00 |

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| Name and Address of Grantee / Description of Grant or Project | Amount of Grant |
|---|-----------------|
| GERMAN SOCIETY OF THE CITY OF NEW YORK, New York, NY In support of its social service and welfare program | \$ 25,000 00 |
| THE GERMAN SOCIETY OF PENNSYLVANIA, Philadelphia, PA In support of renovation work to the Society's building including ADA bathrooms and windows in auditorium | \$ 20,000 00 |
| GERMAN-AMERICAN SCHOOL ASSOCIATION, New York, NY For improvement & maintenance of school's facilities & support of faculty compensation fund. | \$ 30,000 00 |
| UNIVERSITY OF ILLINOIS, Chicago, IL | \$ 1,000 00 |
| INDIANA UNIVERSITY, Indianapolis, IN | \$ 6,000 00 |
| KANSAS UNIVERSITY ENDOWMENT ASSOCIATION, Lawrence, KS | \$ 6,000 00 |
| UNIVERSITY OF KENTUCKY, Lexington, KY | \$ 6,000 00 |
| LAFAYETTE COLLEGE, Easton, PA | \$ 5,000 00 |
| LIEDERKRANZ FOUNDATION, INC , New York, NY Grant in support of expenses of the 5th floor of its building | \$ 25,000.00 |
| LIEDERKRANZ FOUNDATION, INC , New York, NY Grant in support of expenses of 5th floor of its building | \$ 25,000.00 |
| LIEDERKRANZ FOUNDATION, INC , New York, NY In support of the renovation & maintenance of its facilities | \$ 25,000 00 |
| UNIVERSITY OF MASSACHUSETTS, Amherst, MA | \$ 6,000.00 |
| THE UNIVERSITY OF MICHIGAN, Ann Arbor, MI | \$ 6,000.00 |
| MIDDLEBURY COLLEGE, Middlebury, VT | \$ 6,000 00 |
| MILLERSVILLE UNIVERSITY, Millersville, PA | \$ 5,000 00 |
| MONTEREY INSTITUTE OF INTERNATIONAL STUDIES, Monterey, CA | \$ 6,000.00 |
| NEW YORK UNIVERSITY , New York, NY For renovations to classrooms of Deutsches Haus and 2009 cultural program. | \$ 20,000.00 |
| OBERLIN COLLEGE, Oberlin, OH | \$ 6,000.00 |
| THE OHIO STATE UNIVERSITY, Columbus, OH | \$ 6,000 00 |
| UNIVERSITY OF PENNSYLVANIA, Philadelphia, PA | \$ 6,000 00 |
| THE PENNSYLVANIA STATE UNIVERSITY, University Park, PA | \$ 6,000.00 |

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| Name and Address of Grantee / Description of Grant or Project | Amount of Grant |
|--|-------------------------------|
| UNIVERSITY OF RHODE ISLAND, Kingston, RI | \$ 5,000.00 |
| UNIVERSITY OF SOUTHERN CALIFORNIA, Los Angeles, CA | \$ 6,000 00 |
| UNIVERSITY OF STUTTGART, Stuttgart, Baden-Wuerttemberg For the renovation and upgrading of Max Kade Haus (3rd/final installment). | \$ 250,000 00 |
| VALPARAISO UNIVERSITY, Valparaiso, IN | \$ 6,000 00 |
| VANDERBILT UNIVERSITY, Nashville, TN | \$ 6,000 00 |
| UNIVERSITY OF VIRGINIA, Charlottesville, VA | \$ 6,000 00 |
| UNIVERSITY OF WISCONSIN FOUNDATION, Madison, WI | \$ 6,000 00 |
| | <u>\$ 646,000.00</u> |
| V. MISCELLANEOUS GRANTS | |
| AMERICAN MUSEUM OF NATURAL HISTORY, New York, NY | \$ 2,000.00 |
| EV LUTHERAN CHURCH OF ST. PAUL, New York, NY | \$ 2,000 00 |
| | <u>\$ 4,000.00</u> |
| TOTAL GRANTS MADE IN 2009: | <u>\$ 3,244,575.00</u> |

STATEMENT- SCHEDULE TO PART XV, LINE 3B

MAX KADE FOUNDATION, INC.

I.D. NO. 13-5658082

GRANTS APPROVED FOR FUTURE PAYMENT

as of December 31, 2009

| Grantee and Field | Amount |
|--|------------------|
| <hr/> | |
| GRANTS APPROVED TO EDUCATIONAL INSTITUTIONS TOWARD SUPPORT OF POSTDOCTORAL RESEARCH EXCHANGE PROGRAMS | |
| Baptist Hospital of Miami, Inc. (Gudrun Feuchtner), Miami, FL | \$ 49,000.00 |
| University of California (Evelyn Jantscher-Krenn), San Diego, CA | 56,000.00 |
| Harvard Medical School (Georg Stary), Boston, MA | 64,400.00 |
| Hospital for Special Surgery (Nikolaus Binder), New York, NY | 61,600.00 |
| Hospital for Special Surgery (Musa Citak), New York, NY | 16,800.00 |
| Massachusetts Institute of Technology (Konstantin Mitgutsch), Cambridge, MA | 56,000.00 |
| Memorial Sloan-Kettering Cancer Center (Thomas Wiesner), New York, NY | 49,000.00 |
| Mount Sinai School of Medicine (Andrea Kunz), New York, NY | 32,100.00 |
| The Scripps Research Institute (Bernhard Schweighofer), La Jolla, CA | 26,250.00 |
| The Wistar Institute of Anatomy & Biology (Clemens Krepler), Philadelphia, PA | <u>61,600.00</u> |
| | \$ 472,750.00 |

**GRANTS APPROVED TO EDUCATIONAL INSTITUTIONS
IN SUPPORT OF VISITING FACULTY EXCHANGE PROGRAMS**

| | |
|---|------------------|
| Brown University, Providence, RI | \$ 14,000.00 |
| University of Cincinnati, Cincinnati, OH | 12,000.00 |
| Kansas University Endowment Association, Lawrence, KS | 12,000.00 |
| Lafayette College, Easton, PA | 12,000.00 |
| Miami University, Oxford, OH | 6,720.00 |
| New York University, New York, NY | 5,600.00 |
| University of Notre Dame, Notre Dame, IN | 14,000.00 |
| The Ohio State University, Columbus, OH | 10,000.00 |
| Vanderbilt University, Nashville, TN | 14,000.00 |
| University of Washington, Seattle, WA | 8,000.00 |
| Washington University, St. Louis, MO | <u>19,500.00</u> |
| | \$ 127,820.00 |

MAX KADE FOUNDATION, INC.

I.D. NO. 13-5658082

GRANTS APPROVED FOR FUTURE PAYMENT
as of December 31, 2009

| Grantee and Field | Amount |
|--|-----------------|
| GRANTS APPROVED TO EDUCATIONAL INSTITUTIONS FOR THE TRAINING OF LANGUAGE TEACHERS AND GRADUATE STUDY ABROAD AND INTERNATIONAL CONFERENCES | |
| The University of Arizona, Tucson, AZ | \$ 28,000.00 |
| Bard College, Annandale-on-Hudson, NY | 3,140.00 |
| Bates College, Lewiston, ME | 1,500.00 |
| University of California, Berkeley, CA | 3,200.00 |
| Carnegie Mellon University, Pittsburgh, PA | 3,600.00 |
| Emory University, Atlanta, GA | 14,000.00 |
| Friends of the Atlantik-Bruecke e.V. Foundation, Inc., New York, NY | 19,960.00 |
| German American Partnership Program, Inc., New York, NY | 20,000.00 |
| Hunter College Foundation, Inc., New York, NY | 15,000.00 |
| Hunter College Foundation Inc., New York, NY | 500.00 |
| University of Kentucky, Lexington, KY | 15,000.00 |
| New York Foundation for the Arts, Inc., New York, NY | 25,000.00 |
| New York University, New York, NY | 40,000.00 |
| Rutgers University Foundation, Rutgers, NJ | 21,600.00 |
| The University of Texas, Austin, TX | 14,000.00 |
| Washington University, St. Louis, MO | 20,000.00 |
| The University of Wisconsin Milwaukee Foundation, Milwaukee, WI | <u>4,000.00</u> |
| | \$ 248,500.00 |

**GRANTS APPROVED TO EDUCATIONAL INSTITUTIONS FOR
EQUIPMENT OF MAX KADE LANGUAGE CENTERS
AND FOR OTHER CHARITABLE ACTIVITIES**

| | |
|---|------------------|
| Belmont University, Nashville, TN | \$ 20,000.00 |
| ConRuhr, New York, NY | 400,000.00 |
| Philipps-University Marburg, Hessen | 450,000.00 |
| Liederkrantz Foundation, Inc., New York, NY | <u>50,000.00</u> |

GRANTS APPROVED FOR FUTURE PAYMENT
as of December 31, 2009

3

Form **8868**

(Rev April 2009)

Department of the Treasury
Internal Revenue Service**Application for Extension of Time To File an
Exempt Organization Return**

OMB No 1545-1709

► **File a separate application for each return.**

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒
- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form)

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868**Part I Automatic 3-Month Extension of Time.** Only submit original (no copies needed).A corporation required to file Form 990-T and requesting an automatic 6-month extension – check this box and complete Part I only ☐*All other corporations (including 1120-C filers), partnerships, REMICS, and trusts must use Form 7004 to request an extension of time to file income tax returns*

Electronic Filing (e-file). Generally, you can electronically file Form 8868 if you want a 3-month automatic extension of time to file one of the returns noted below (6 months for a corporation required to file Form 990-T). However, you cannot file Form 8868 electronically if (1) you want the additional (not automatic) 3-month extension or (2) you file Forms 990-BL, 6069, or 8870, group returns, or a composite or consolidated Form 990-T. Instead, you must submit the fully completed and signed page 2 (Part II) of Form 8868. For more details on the electronic filing of this form, visit www.irs.gov/efile and click on *e-file for Charities & Nonprofits*

| | | |
|---|---|--------------------------------|
| Type or print File by the due date for filing your return. See instructions | Name of Exempt Organization | Employer identification number |
| | MAX KADE FOUNDATION, INC. | 13-5658082 |
| | Number, street, and room or suite number. If a P.O. box, see instructions | |
| | 6 EAST 87TH STREET FL-5 | |
| | City, town or post office, state, and ZIP code. For a foreign address, see instructions | |
| | NEW YORK, NY 10128-0505 | |

Check type of return to be filed (file a separate application for each return)

- | | | |
|---|--|------------------------------------|
| <input type="checkbox"/> Form 990 | <input type="checkbox"/> Form 990-T (corporation) | <input type="checkbox"/> Form 4720 |
| <input type="checkbox"/> Form 990-BL | <input type="checkbox"/> Form 990-T (section 401(a) or 408(a) trust) | <input type="checkbox"/> Form 5227 |
| <input type="checkbox"/> Form 990-EZ | <input type="checkbox"/> Form 990-T (trust other than above) | <input type="checkbox"/> Form 6069 |
| <input checked="" type="checkbox"/> Form 990-PF | <input type="checkbox"/> Form 1041-A | <input type="checkbox"/> Form 8870 |

- The books are in the care of ► MAX KADE FOUNDATION, INC.

Telephone No ► 646-672-4354 FAX No ► _____

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension will cover

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 8/15, 20 10, to file the exempt organization return for the organization named above. The extension is for the organization's return for

- ☒ calendar year 20 09 or
- tax year beginning _____, 20 _____, and ending _____, 20 _____

2 If this tax year is for less than 12 months, check reason ☐ Initial return ☐ Final return ☐ Change in accounting period

| | | | |
|--|-----------|----|----------|
| 3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions | 3a | \$ | 0. |
| b If this application is for Form 990-PF or 990-T, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit | 3b | \$ | 132,079. |
| c Balance Due. Subtract line 3b from line 3a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions | 3c | \$ | 0. |

Caution. If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions

BAA For Privacy Act and Paperwork Reduction Act Notice, see instructions.Form **8868** (Rev 4-2009)

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

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

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

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

| | | |
|--|--|--------------------------------|
| Type or print File by the extended due date for filing the return. See instructions | Name of Exempt Organization | Employer identification number |
| | MAX KADE FOUNDATION, INC. | 13-5658082 |
| | Number, street, and room or suite number. If a P.O. box, see instructions | For IRS use only |
| | CFO PROFESSIONAL SERVICES INC. 271 ROUTE 46 WEST SUITE D-102-209 | |
| | City, town or post office, state and ZIP code. For a foreign address, see instructions | |
| | FAIRFIELD, NJ 07004 | |

Check type of return to be filed (File a separate application for each return)

- | | | | |
|--------------------------------------|--|--------------------------------------|------------------------------------|
| <input type="checkbox"/> Form 990 | <input checked="" type="checkbox"/> Form 990-PF | <input type="checkbox"/> Form 1041-A | <input type="checkbox"/> Form 6069 |
| <input type="checkbox"/> Form 990-BL | <input type="checkbox"/> Form 990-T (section 401(a) or 408(a) trust) | <input type="checkbox"/> Form 4720 | <input type="checkbox"/> Form 8870 |
| <input type="checkbox"/> Form 990-EZ | <input type="checkbox"/> Form 990-T (trust other than above) | <input type="checkbox"/> Form 5227 | |

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

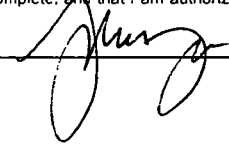
- The books are in care of **MAX KADE FOUNDATION, INC.**
Telephone No **646-672-4354** FAX No _____
- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for

- 4 I request an additional 3-month extension of time until 11/15, 2010
- 5 For calendar year 2009, or other tax year beginning _____, 20____, and ending _____, 20____
- 6 If this tax year is for less than 12 months, check reason ☐ Initial return ☐ Final return ☐ Change in accounting period
- 7 State in detail why you need the extension TAXPAYER RESPECTFULLY REQUESTS ADDITIONAL TIME TO GATHER INFORMATION NECESSARY TO FILE A COMPLETE AND ACCURATE TAX RETURN.

| | | |
|---|-----------|-------------|
| 8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions | 8a | \$ 0. |
| b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868 | 8b | \$ 132,079. |
| c Balance Due. Subtract line 8b from line 8a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instrs | 8c | \$ 0. |

Signature and Verification

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

Signature  Title QA Date 7/15/10