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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

, 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  
Instructions

Name of foundation

S&amp;L MARX FOUNDATION, INC.

Number and street (or P O box number if mail is not delivered to street address)

Room/suite

15 EAST PUTNAM AVENUE

270

City or town, state, and ZIP code

GREENWICH, CT 06830

A Employer identification number

20-0677535

B Telephone number

203-629-3609

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, col. (c), line 16)

\$ 76,525,979.

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))

(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

10,089,713.

2 Check ☐ if the foundation is not required to attach Sch. B

3 Interest on savings and temporary cash investments

4 Dividends and interest from securities

992,607.

992,607.

STATEMENT 1

5a Gross rents

b Net rental income or (loss)

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

&lt;63,068.&gt;

b Gross sales price for all assets on line 6a 1,311,087.

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

0.

8 Net short-term capital gain

9 Income modifications

10a Gross sales less returns and allowances

b Less Cost of goods sold

c Gross profit or (loss)

11 Other income

138,979.

138,979.

0. STATEMENT 2

12 Total. Add lines 1 through 11

11,158,231.

1,131,586.

0.

13 Compensation of officers, directors, trustees, etc

72,000.

7,200.

0.

64,800.

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees STMT 3

4,017.

402.

0.

3,615.

b Accounting fees STMT 4

16,843.

8,422.

0.

8,421.

c Other professional fees STMT 5

250.

25.

0.

225.

17 Interest

18 Taxes STMT 6

24,246.

597.

0.

5,376.

19 Depreciation and depletion

20 Occupancy

21 Travel, conferences, and meetings

29.

3.

0.

26.

22 Printing and publications

1.

1.

0.

0.

23 Other expenses STMT 7

13,354.

1,313.

0.

14,041.

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

130,740.

17,963.

0.

96,504.

25 Contributions, gifts, grants paid

1,495,750.

1,495,750.

26 Total expenses and disbursements. Add lines 24 and 25

1,626,490.

17,963.

0.

1,592,254.

27 Subtract line 26 from line 12:

a Excess of revenue over expenses and disbursements

9,531,741.

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

1,113,623.

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

0.

923501  
02-02-10

LHA For Privacy Act and Paperwork Reduction Act Notice, see the instructions.

Form 990-PF (2009)

4/6/10

| Part II Balance Sheets                                                      |                                                                                                                                          | Attached schedules and amounts in the description column should be for end-of-year amounts only |                | Beginning of year     | End of year |             |
|-----------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|----------------|-----------------------|-------------|-------------|
|                                                                             |                                                                                                                                          | (a) Book Value                                                                                  | (b) Book Value | (c) Fair Market Value |             |             |
| Assets                                                                      | 1 Cash - non-interest-bearing                                                                                                            |                                                                                                 |                |                       |             |             |
|                                                                             | 2 Savings and temporary cash investments                                                                                                 |                                                                                                 |                | 32,318,352.           | 42,895,964. | 42,895,964. |
|                                                                             | 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                                                     |                                                                                                 |                |                       |             |             |
|                                                                             | 7 Other notes and loans receivable ▶                                                                                                     |                                                                                                 |                |                       |             |             |
|                                                                             | Less: allowance for doubtful accounts ▶                                                                                                  |                                                                                                 |                |                       |             |             |
|                                                                             | 8 Inventories for sale or use                                                                                                            |                                                                                                 |                |                       |             |             |
|                                                                             | 9 Prepaid expenses and deferred charges                                                                                                  |                                                                                                 |                |                       |             |             |
|                                                                             | 10a Investments - U.S. and state government obligations                                                                                  |                                                                                                 |                |                       |             |             |
|                                                                             | b Investments - corporate stock STMT 8                                                                                                   |                                                                                                 |                | 13,757,486.           | 16,919,785. | 16,919,785. |
|                                                                             | c Investments - corporate bonds                                                                                                          |                                                                                                 |                |                       |             |             |
| Liabilities                                                                 | 11 Investments - land, buildings, and equipment basis ▶                                                                                  |                                                                                                 |                |                       |             |             |
|                                                                             | Less accumulated depreciation ▶                                                                                                          |                                                                                                 |                |                       |             |             |
|                                                                             | 12 Investments - mortgage loans                                                                                                          |                                                                                                 |                |                       |             |             |
|                                                                             | 13 Investments - other STMT 9                                                                                                            |                                                                                                 |                | 15,784,691.           | 16,710,230. | 16,710,230. |
|                                                                             | 14 Land, buildings, and equipment basis ▶                                                                                                |                                                                                                 |                |                       |             |             |
|                                                                             | Less accumulated depreciation ▶                                                                                                          |                                                                                                 |                |                       |             |             |
|                                                                             | 15 Other assets (describe ▶)                                                                                                             |                                                                                                 |                |                       |             |             |
|                                                                             | 16 Total assets (to be completed by all filers)                                                                                          |                                                                                                 |                | 61,860,529.           | 76,525,979. | 76,525,979. |
|                                                                             | 17 Accounts payable and accrued expenses                                                                                                 |                                                                                                 |                |                       |             |             |
|                                                                             | 18 Grants payable                                                                                                                        |                                                                                                 |                |                       |             |             |
| 19 Deferred revenue                                                         |                                                                                                                                          |                                                                                                 |                |                       |             |             |
| 20 Loans from officers, directors, trustees, and other disqualified persons |                                                                                                                                          |                                                                                                 |                |                       |             |             |
| 21 Mortgages and other notes payable                                        |                                                                                                                                          |                                                                                                 |                |                       |             |             |
| 22 Other liabilities (describe ▶)                                           |                                                                                                                                          |                                                                                                 |                |                       |             |             |
| 23 Total liabilities (add lines 17 through 22)                              |                                                                                                                                          |                                                                                                 | 0.             | 0.                    |             |             |
| Net Assets or Fund Balances                                                 | Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31. |                                                                                                 |                |                       |             |             |
|                                                                             | 24 Unrestricted                                                                                                                          |                                                                                                 |                | 61,860,529.           | 76,525,979. |             |
|                                                                             | 25 Temporarily restricted                                                                                                                |                                                                                                 |                |                       |             |             |
|                                                                             | 26 Permanently restricted                                                                                                                |                                                                                                 |                |                       |             |             |
|                                                                             | Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31.                         |                                                                                                 |                |                       |             |             |
|                                                                             | 27 Capital stock, trust principal, or current funds                                                                                      |                                                                                                 |                |                       |             |             |
|                                                                             | 28 Paid-in or capital surplus, or land, bldg., and equipment fund                                                                        |                                                                                                 |                |                       |             |             |
|                                                                             | 29 Retained earnings, accumulated income, endowment, or other funds                                                                      |                                                                                                 |                |                       |             |             |
| 30 Total net assets or fund balances                                        |                                                                                                                                          |                                                                                                 | 61,860,529.    | 76,525,979.           |             |             |
| 31 Total liabilities and net assets/fund balances                           |                                                                                                                                          |                                                                                                 | 61,860,529.    | 76,525,979.           |             |             |

## 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<br>(must agree with end-of-year figure reported on prior year's return) | 1 | 61,860,529. |
| 2 Enter amount from Part I, line 27a                                                                                                                            | 2 | 9,531,741.  |
| 3 Other increases not included in line 2 (itemize) ▶ NET UNREALIZED GAIN ON INVESTMENTS                                                                         | 3 | 5,133,709.  |
| 4 Add lines 1, 2, and 3                                                                                                                                         | 4 | 76,525,979. |
| 5 Decreases not included in line 2 (itemize) ▶                                                                                                                  | 5 | 0.          |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30                                                         | 6 | 76,525,979. |

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

| (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.) | (b) How acquired<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr.) | (d) Date sold<br>(mo., day, yr.) |
|------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|--------------------------------------|----------------------------------|
| 1a FIDELITY AS NOMINEE-SHORT TERM                                                                                                  | P                                                | VARIOUS                              | VARIOUS                          |
| b FIDELITY AS NOMINEE-LONG TERM                                                                                                    | P                                                | VARIOUS                              | VARIOUS                          |
| c SALE OF ALLENTOWN REAL ESTATE                                                                                                    | P                                                | VARIOUS                              | 08/18/09                         |
| d CALLS EXPIRED                                                                                                                    | P                                                | VARIOUS                              | VARIOUS                          |
| e                                                                                                                                  |                                                  |                                      |                                  |

  

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| a 128,013.            |                                            | 126,508.                                        | 1,505.                                       |
| b 1,048,823.          |                                            | 1,247,647.                                      | <198,824.>                                   |
| c 100,000.            |                                            |                                                 | 100,000.                                     |
| d 34,251.             |                                            |                                                 | 34,251.                                      |
| e                     |                                            |                                                 |                                              |

  

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col. (i)<br>over col. (j), if any | (l) Gains (Col. (h) gain minus<br>col. (k), but not less than -0-) or<br>Losses (from col. (h)) |
|---------------------------|--------------------------------------|-------------------------------------------------|-------------------------------------------------------------------------------------------------|
| a                         |                                      |                                                 | 1,505.                                                                                          |
| b                         |                                      |                                                 | <198,824.>                                                                                      |
| c                         |                                      |                                                 | 100,000.                                                                                        |
| d                         |                                      |                                                 | 34,251.                                                                                         |
| e                         |                                      |                                                 |                                                                                                 |

  

|                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                      |           |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| 2 Capital gain net income or (net capital loss)                                                                                                                                 | <div style="display: flex; align-items: center;"> <div style="border-left: 1px solid black; padding-left: 5px; margin-right: 5px;">           If gain, also enter in Part I, line 7<br/>           If (loss), enter -0- in Part I, line 7         </div> <div style="border: 1px solid black; padding: 2px 10px; text-align: center;">2</div> </div> | <63,068.> |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):<br>If gain, also enter in Part I, line 8, column (c).<br>If (loss), enter -0- in Part I, line 8 | <div style="border: 1px solid black; padding: 2px 10px; text-align: center;">3</div>                                                                                                                                                                                                                                                                 | N/A       |

**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 instructions before making any entries.

| (a) Base period years<br>Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio<br>(col. (b) divided by col. (c)) |
|-------------------------------------------------------------------|---------------------------------------|-------------------------------------------|----------------------------------------------------------|
| 2008                                                              | 6,442,956.                            | 64,007,984.                               | .100659                                                  |
| 2007                                                              | 1,598,331.                            | 57,463,239.                               | .027815                                                  |
| 2006                                                              | 1,511,034.                            | 30,128,615.                               | .050153                                                  |
| 2005                                                              | 1,073,265.                            | 24,951,477.                               | .043014                                                  |
| 2004                                                              | 935,976.                              | 19,955,950.                               | .046902                                                  |

  

|                                                                                                                                                                                                                         |   |             |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-------------|
| 2 Total of line 1, column (d)                                                                                                                                                                                           | 2 | .268543     |
| 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 | .053709     |
| 4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5                                                                                                                                          | 4 | 68,665,764. |
| 5 Multiply line 4 by line 3                                                                                                                                                                                             | 5 | 3,687,970.  |
| 6 Enter 1% of net investment income (1% of Part I, line 27b)                                                                                                                                                            | 6 | 11,136.     |
| 7 Add lines 5 and 6                                                                                                                                                                                                     | 7 | 3,699,106.  |
| 8 Enter qualifying distributions from Part XII, line 4<br>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.<br>See the Part VI instructions. | 8 | 1,638,285.  |

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

|                                                                                                                                                                                                                                        |            |    |         |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|----|---------|
| 1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1.<br>Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions) |            | 1  | 22,272. |
| 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                                                                                      |            |    |         |
| c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)                                                                                                              |            | 2  | 0.      |
| 2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                            |            | 3  | 22,272. |
| 3 Add lines 1 and 2                                                                                                                                                                                                                    |            | 4  | 0.      |
| 4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                          |            | 5  | 22,272. |
| 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-                                                                                                                                              |            |    |         |
| 6 Credits/Payments:                                                                                                                                                                                                                    |            |    |         |
| a 2009 estimated tax payments and 2008 overpayment credited to 2009                                                                                                                                                                    | 6a 22,000. |    |         |
| b Exempt foreign organizations - tax withheld at source                                                                                                                                                                                | 6b         |    |         |
| c Tax paid with application for extension of time to file (Form 8868)                                                                                                                                                                  | 6c 23,000. |    |         |
| d Backup withholding erroneously withheld                                                                                                                                                                                              | 6d         |    |         |
| 7 Total credits and payments. Add lines 6a through 6d                                                                                                                                                                                  |            | 7  | 45,000. |
| 8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached                                                                                                                    |            | 8  | 69.     |
| 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed                                                                                                                                                        |            | 9  |         |
| 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid                                                                                                                                           |            | 10 | 22,659. |
| 11 Enter the amount of line 10 to be: Credited to 2010 estimated tax                                                                                                                                                                   | 22,659.    | 11 | 0.      |
|                                                                                                                                                                                                                                        | Refunded   |    |         |

**Part VII-A Statements Regarding Activities**

|                                                                                                                                                                                                                                                                                                                                            | Yes | No |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?                                                                                                                                                                    |     | X  |
| 1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)?<br>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities. |     | X  |
| 1c 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:<br>(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?<br>If "Yes," attach a detailed description of the activities                                                                                                                                                                             |     | X  |
| 3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes                                                                                                               |     | X  |
| 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?                                                                                                                                                                                                                                             |     | X  |
| b If "Yes," has it filed a tax return on Form 990-T for this year?                                                                                                                                                                                                                                                                         |     |    |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>If "Yes," attach the statement required by General Instruction T.                                                                                                                                                                      |     | X  |
| 6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either:<br>• By language in the governing instrument, or<br>• 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?<br>If "Yes," complete Part II, col. (c), and Part XV.                                                                                                                                                                                                    | X   |    |
| 8a Enter the states to which the foundation reports or with which it is registered (see instructions) CT                                                                                                                                                                                                                                   |     |    |
| b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation                                                                                                                              | 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)? If "Yes," complete Part XIV                                                                                     |     | X  |
| 10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses                                                                                                                                                                                                      |     | X  |

Form 990-PF (2009)

**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)      |    | X   |
| 12 | Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?                                                                        |    | X   |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application?<br>Website address <b>N/A</b>                                            | X  |     |
| 14 | The books are in care of <b>CUMMINGS &amp; LOCKWOOD LLC (N. MARX)</b> Telephone no. <b>203-327-1700</b><br>Located at <b>SIX LANDMARK SQUARE, 8TH FLOOR, STAMFORD, CT</b> ZIP+4 <b>06901</b> |    |     |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here<br>and enter the amount of tax-exempt interest received or accrued during the year       | 15 | N/A |

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

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

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | 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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No |    |
| (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?                                                                                                                                                                                                                                                                                                                                                                                                              | <input checked="" type="checkbox"/> Yes <input 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 page 20 of the instructions)?<br>Organizations relying on a current notice regarding disaster assistance check here                                                                                                                                                                       |                                                                     | X  |
| 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?                                                                                                                                                                                                                                                                                                         |                                                                     | 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?<br>If "Yes," list the years                                                                                                                                                                                                                                                                                                                   | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| b Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)                                                                                                                                                                                | 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.<br>_____                                                                                                                                                                                                                                                                                                                                                                       |                                                                     |    |
| 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.) | N/A                                                                 |    |
| 4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?                                                                                                                                                                                                                                                                                                                                                                                |                                                                     | 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?                                                                                                                                                                                                                                                               |                                                                     | X  |

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)?

☐ Yes ☒ No

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

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

☐ 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?

N/A

7b

**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.

| (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 |
|-------------------------------------------------------------------|-----------------------------------------------------------|-------------------------------------------|-----------------------------------------------------------------------|---------------------------------------|
| JAMES BETTER<br>15 EAST PUTNAM AVENUE<br>GREENWICH, CT 06830      | DIRECTOR<br>1.00                                          | 0.                                        | 0.                                                                    | 0.                                    |
| NANCY MARX BETTER<br>15 EAST PUTNAM AVENUE<br>GREENWICH, CT 06830 | EXECUTIVE DIRECTOR<br>25.00                               | 72,000.                                   | 0.                                                                    | 0.                                    |
| LEONARD MARX<br>15 EAST PUTNAM AVENUE<br>GREENWICH, CT 06830      | TREASURER<br>10.00                                        | 0.                                        | 0.                                                                    | 0.                                    |
| SYLVIA MARX<br>15 EAST PUTNAM AVENUE<br>GREENWICH, CT 06830       | PRESIDENT<br>5.00                                         | 0.                                        | 0.                                                                    | 0.                                    |

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

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

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

0

Form 990-PF (2009)

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

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

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.

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 | 31,056,525. |
| b | Average of monthly cash balances                                                                            | 1b | 38,654,911. |
| c | Fair market value of all other assets                                                                       | 1c |             |
| d | Total (add lines 1a, b, and c)                                                                              | 1d | 69,711,436. |
| 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  | 69,711,436. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)   | 4  | 1,045,672.  |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4        | 5  | 68,665,764. |
| 6 | Minimum investment return. Enter 5% of line 5                                                               | 6  | 3,433,288.  |

**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  | 3,433,288. |
| 2a | Tax on investment income for 2009 from Part VI, line 5                                             | 2a | 22,272.    |
| b  | Income tax for 2009. (This does not include the tax from Part VI.)                                 | 2b |            |
| c  | Add lines 2a and 2b                                                                                | 2c | 22,272.    |
| 3  | Distributable amount before adjustments. Subtract line 2c from line 1                              | 3  | 3,411,016. |
| 4  | Recoveries of amounts treated as qualifying distributions                                          | 4  | 0.         |
| 5  | Add lines 3 and 4                                                                                  | 5  | 3,411,016. |
| 6  | Deduction from distributable amount (see instructions)                                             | 6  | 0.         |
| 7  | Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | 7  | 3,411,016. |

**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 | 1,638,285. |
| b | Program-related investments - total from Part IX-B                                                                                | 1b | 0.         |
| 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  | 1,638,285. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b | 5  | 0.         |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4                                                                    | 6  | 1,638,285. |

**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.

Form 990-PF (2009)

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

|                                                                                                                                                                                   | (a)<br>Corpus | (b)<br>Years prior to 2008 | (c)<br>2008 | (d)<br>2009 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|-------------|-------------|
| <b>1</b> Distributable amount for 2009 from Part XI, line 7                                                                                                                       |               |                            |             | 3,411,016.  |
| <b>2</b> Undistributed income, if any, as of the end of 2009                                                                                                                      |               |                            |             |             |
| <b>a</b> Enter amount for 2008 only                                                                                                                                               |               |                            | 778,862.    |             |
| <b>b</b> Total for prior years:                                                                                                                                                   |               | 0.                         |             |             |
| <b>3</b> Excess distributions carryover, if any, to 2009:                                                                                                                         |               |                            |             |             |
| <b>a</b> From 2004                                                                                                                                                                |               |                            |             |             |
| <b>b</b> From 2005                                                                                                                                                                |               |                            |             |             |
| <b>c</b> From 2006                                                                                                                                                                |               |                            |             |             |
| <b>d</b> From 2007                                                                                                                                                                |               |                            |             |             |
| <b>e</b> From 2008                                                                                                                                                                |               |                            |             |             |
| <b>f</b> Total of lines 3a through e                                                                                                                                              | 0.            |                            |             |             |
| <b>4</b> Qualifying distributions for 2009 from Part XII, line 4: ▶ \$ 1,638,285.                                                                                                 |               |                            |             |             |
| <b>a</b> Applied to 2008, but not more than line 2a                                                                                                                               |               |                            | 778,862.    |             |
| <b>b</b> Applied to undistributed income of prior years (Election required - see instructions)                                                                                    |               | 0.                         |             |             |
| <b>c</b> Treated as distributions out of corpus (Election required - see instructions)                                                                                            | 0.            |                            |             |             |
| <b>d</b> Applied to 2009 distributable amount                                                                                                                                     |               |                            |             | 859,423.    |
| <b>e</b> Remaining amount distributed out of corpus                                                                                                                               | 0.            |                            |             |             |
| <b>5</b> Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a).)                                        | 0.            |                            |             | 0.          |
| <b>6</b> Enter the net total of each column as indicated below:                                                                                                                   | 0.            |                            |             |             |
| <b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5                                                                                                                          |               |                            |             |             |
| <b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b                                                                                                         |               | 0.                         |             |             |
| <b>c</b> 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.                         |             |             |
| <b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions                                                                                                         |               | 0.                         |             |             |
| <b>e</b> Undistributed income for 2008. Subtract line 4a from line 2a. Taxable amount - see instr.                                                                                |               |                            | 0.          |             |
| <b>f</b> Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010                                                              |               |                            |             | 2,551,593.  |
| <b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)                                                     | 0.            |                            |             |             |
| <b>8</b> Excess distributions carryover from 2004 not applied on line 5 or line 7                                                                                                 | 0.            |                            |             |             |
| <b>9</b> Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a                                                                                              | 0.            |                            |             |             |
| <b>10</b> Analysis of line 9:                                                                                                                                                     |               |                            |             |             |
| <b>a</b> Excess from 2005                                                                                                                                                         |               |                            |             |             |
| <b>b</b> Excess from 2006                                                                                                                                                         |               |                            |             |             |
| <b>c</b> Excess from 2007                                                                                                                                                         |               |                            |             |             |
| <b>d</b> Excess from 2008                                                                                                                                                         |               |                            |             |             |
| <b>e</b> Excess from 2009                                                                                                                                                         |               |                            |             |             |







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

- |          |                                                                                                                                                                                                                                                                                                                                                                                              | Yes   | No |
|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|----|
| <b>1</b> | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?                                                                                                                                          |       |    |
| <b>a</b> | Transfers from the reporting foundation to a noncharitable exempt organization of:                                                                                                                                                                                                                                                                                                           |       |    |
|          | (1) Cash                                                                                                                                                                                                                                                                                                                                                                                     | 1a(1) | X  |
|          | (2) Other assets                                                                                                                                                                                                                                                                                                                                                                             | 1a(2) | X  |
| <b>b</b> | Other transactions:                                                                                                                                                                                                                                                                                                                                                                          |       |    |
|          | (1) Sales of assets to a noncharitable exempt organization                                                                                                                                                                                                                                                                                                                                   | 1b(1) | X  |
|          | (2) Purchases of assets from a noncharitable exempt organization                                                                                                                                                                                                                                                                                                                             | 1b(2) | X  |
|          | (3) Rental of facilities, equipment, or other assets                                                                                                                                                                                                                                                                                                                                         | 1b(3) | X  |
|          | (4) Reimbursement arrangements                                                                                                                                                                                                                                                                                                                                                               | 1b(4) | X  |
|          | (5) Loans or loan guarantees                                                                                                                                                                                                                                                                                                                                                                 | 1b(5) | X  |
|          | (6) Performance of services or membership or fundraising solicitations                                                                                                                                                                                                                                                                                                                       | 1b(6) | X  |
| <b>c</b> | Sharing of facilities, equipment, mailing lists, other assets, or paid employees                                                                                                                                                                                                                                                                                                             | 1c    | X  |
| <b>d</b> | If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. |       |    |

[illegible]

- 2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No
- b** If "Yes," complete the following schedule.

| (a) Name of organization | (b) Type of organization | (c) Description of relationship |
|--------------------------|--------------------------|---------------------------------|
| N/A                      |                          |                                 |
|                          |                          |                                 |
|                          |                          |                                 |
|                          |                          |                                 |
|                          |                          |                                 |

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer or fiduciary) is based on all information of which preparer has any knowledge.

|                          |                                                                                                                                                       |  |                 |                                                          |
|--------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|--|-----------------|----------------------------------------------------------|
| Sign Here                | Signature of officer or trustee<br><i>Nancy Marx Besser</i>                                                                                           |  | Date<br>7-25-10 | Title<br>Secretary                                       |
|                          | Preparer's signature<br><i>[Signature]</i>                                                                                                            |  | Date<br>7/2/10  | Check if self-employed <input type="checkbox"/>          |
| Paid Preparer's Use Only | Firm's name (or yours if self-employed), address, and ZIP code<br><b>WEISERMAZARS LLP</b><br><b>135 WEST 50TH STREET</b><br><b>NEW YORK, NY 10020</b> |  |                 | Preparer's identifying number<br>EIN <b>212.812.7000</b> |
|                          |                                                                                                                                                       |  |                 | Phone no. <b>212.812.7000</b>                            |

Form **990-PF** (2009)

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

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

▶ Attach to Form 990, 990-EZ, or 990-PF.

OMB No 1545-0047

**2009**

Name of the organization

**S&L MARX FOUNDATION, INC.**

Employer identification number

**20-0677535**

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)( ) (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

**General Rule**

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

**Special Rules**

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, aggregate contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not aggregate to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$ \_\_\_\_\_

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2 of its Form 990, or check the box on line H of its Form 990-EZ, or on line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Privacy Act and Paperwork Reduction Act Notice, see the Instructions  
for Form 990, 990-EZ, or 990-PF.

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

Name of organization

Employer identification number

S&amp;L MARX FOUNDATION, INC.

20-0677535

**Part I Contributors** (see instructions)

| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                                                    | (c)<br>Aggregate contributions | (d)<br>Type of contribution                                                                                                                                                  |
|------------|--------------------------------------------------------------------------------------|--------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1          | VIRGINIA AND LEONARD MARX FOUNDATION<br>15 EAST PUTNAM AVENUE<br>GREENWICH, CT 06830 | \$ 10,089,713.                 | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.) |
| 2          |                                                                                      | \$                             | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.) |
|            |                                                                                      | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)            |
|            |                                                                                      | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)            |
|            |                                                                                      | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)            |
|            |                                                                                      | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)            |



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|             |                                        |           |   |
|-------------|----------------------------------------|-----------|---|
| FORM 990-PF | DIVIDENDS AND INTEREST FROM SECURITIES | STATEMENT | 1 |
|-------------|----------------------------------------|-----------|---|

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| SOURCE                           | GROSS AMOUNT | CAPITAL GAINS<br>DIVIDENDS | COLUMN (A)<br>AMOUNT |
|----------------------------------|--------------|----------------------------|----------------------|
| DIVIDEND INCOME                  | 992,607.     | 0.                         | 992,607.             |
| TOTAL TO FM 990-PF, PART I, LN 4 | 992,607.     | 0.                         | 992,607.             |

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|             |              |           |   |
|-------------|--------------|-----------|---|
| FORM 990-PF | OTHER INCOME | STATEMENT | 2 |
|-------------|--------------|-----------|---|

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| DESCRIPTION                           | (A)<br>REVENUE<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME |
|---------------------------------------|-----------------------------|-----------------------------------|-------------------------------|
| SYNDICATE INCOME                      | 138,979.                    | 138,979.                          | 0.                            |
| TOTAL TO FORM 990-PF, PART I, LINE 11 | 138,979.                    | 138,979.                          | 0.                            |

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|             |            |           |   |
|-------------|------------|-----------|---|
| FORM 990-PF | LEGAL FEES | STATEMENT | 3 |
|-------------|------------|-----------|---|

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| DESCRIPTION                | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| CUMMINGS AND LOCKWOOD      | 4,017.                       | 402.                              | 0.                            | 3,615.                        |
| TO FM 990-PF, PG 1, LN 16A | 4,017.                       | 402.                              | 0.                            | 3,615.                        |

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|             |                 |           |   |
|-------------|-----------------|-----------|---|
| FORM 990-PF | ACCOUNTING FEES | STATEMENT | 4 |
|-------------|-----------------|-----------|---|

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| DESCRIPTION                  | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| WEISER LLP                   | 16,843.                      | 8,422.                            | 0.                            | 8,421.                        |
| TO FORM 990-PF, PG 1, LN 16B | 16,843.                      | 8,422.                            | 0.                            | 8,421.                        |

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 5

| DESCRIPTION                  | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| MISSION CONSULTING           | 250.                         | 25.                               | 0.                            | 225.                          |
| TO FORM 990-PF, PG 1, LN 16C | 250.                         | 25.                               | 0.                            | 225.                          |

FORM 990-PF TAXES STATEMENT 6

| DESCRIPTION                 | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|-----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| FEDERAL EXCISE TAX          | 18,273.                      | 0.                                | 0.                            | 0.                            |
| PAYROLL TAXES               | 5,973.                       | 597.                              | 0.                            | 5,376.                        |
| TO FORM 990-PF, PG 1, LN 18 | 24,246.                      | 597.                              | 0.                            | 5,376.                        |

FORM 990-PF OTHER EXPENSES STATEMENT 7

| DESCRIPTION                 | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|-----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| DUES AND SUBSCRIPTIONS      | 4,273.                       | 427.                              | 0.                            | 3,846.                        |
| EQUIPMENT RENTAL            | 290.                         | 29.                               | 0.                            | 261.                          |
| BANK CHARGES                | 433.                         | 43.                               | 0.                            | 390.                          |
| POSTAGE                     | 662.                         | 66.                               | 0.                            | 596.                          |
| OFFICE SUPPLIES             | 3,984.                       | 398.                              | 0.                            | 3,586.                        |
| TELEPHONE                   | 1,448.                       | 145.                              | 0.                            | 3,303.                        |
| COMPUTER EXPENSE            | 766.                         | 77.                               | 0.                            | 689.                          |
| MEMBERSHIPS                 | 220.                         | 0.                                | 0.                            | 220.                          |
| ENTERTAINMENT               | 175.                         | 18.                               | 0.                            | 157.                          |
| PAYROLL PROCESSING          | 1,078.                       | 108.                              | 0.                            | 970.                          |
| MISCELLANEOUS               | 25.                          | 2.                                | 0.                            | 23.                           |
| TO FORM 990-PF, PG 1, LN 23 | 13,354.                      | 1,313.                            | 0.                            | 14,041.                       |

|             |                 |           |   |
|-------------|-----------------|-----------|---|
| FORM 990-PF | CORPORATE STOCK | STATEMENT | 8 |
|-------------|-----------------|-----------|---|

| DESCRIPTION                             | BOOK VALUE  | FAIR MARKET VALUE |
|-----------------------------------------|-------------|-------------------|
| CORPORATE STOCKS                        | 16,919,785. | 16,919,785.       |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 16,919,785. | 16,919,785.       |

|             |                   |           |   |
|-------------|-------------------|-----------|---|
| FORM 990-PF | OTHER INVESTMENTS | STATEMENT | 9 |
|-------------|-------------------|-----------|---|

| DESCRIPTION                            | VALUATION METHOD | BOOK VALUE  | FAIR MARKET VALUE |
|----------------------------------------|------------------|-------------|-------------------|
| MUTUAL FUNDS                           | FMV              | 7,379,650.  | 7,379,650.        |
| FOREIGN INVESTMENT FUND                | FMV              | 5,586,843.  | 5,586,843.        |
| CORPORATE FIXED INCOME                 | FMV              | 110,050.    | 110,050.          |
| REAL ESTATE INVESTMENTS                | FMV              | 3,633,687.  | 3,633,687.        |
| TOTAL TO FORM 990-PF, PART II, LINE 13 |                  | 16,710,230. | 16,710,230.       |

FORM 990-PF

GRANTS AND CONTRIBUTIONS  
PAID DURING THE YEAR

STATEMENT 10

| RECIPIENT NAME AND ADDRESS                                                                 | RECIPIENT RELATIONSHIP<br>AND PURPOSE OF GRANT | RECIPIENT<br>STATUS | AMOUNT  |
|--------------------------------------------------------------------------------------------|------------------------------------------------|---------------------|---------|
| ALLIANCE FOR CANCER GENE THERAPY<br>(ACGT)<br>96 CUMMINGS POINT ROAD<br>STAMFORD, CT 06902 | NONE<br>GENERAL SUPPORT                        | PUBLIC<br>CHARITY   | 10,000. |
| BILLY SMITHLINE FOUNDATION<br>3 SYCAMORE DRIVE WHITE PLAINS,<br>NY 10605                   | NONE<br>GENERAL SUPPORT                        | PUBLIC<br>CHARITY   | 1,000.  |
| ADOPT A DOG<br>849 LAKE AVENUE GREENWICH, CT<br>06831                                      | NONE<br>GENERAL SUPPORT                        | PUBLIC<br>CHARITY   | 5,000.  |
| BREAST CANCER ALLIANCE<br>15 EAST PUTNAM AVENUE<br>GREENWICH, CT 06830                     | NONE<br>GENERAL SUPPORT                        | PUBLIC<br>CHARITY   | 5,000.  |
| BRUCE MUSEUM<br>1 MUSEUM DRIVE GREENWICH, CT<br>06830                                      | NONE<br>GENERAL SUPPORT                        | PUBLIC<br>CHARITY   | 10,000. |
| BRUNSWICK SCHOOL<br>100 MAHER AVENUE GREENWICH, CT<br>06830                                | NONE<br>GENERAL SUPPORT                        | PUBLIC<br>CHARITY   | 25,000. |
| ALZEIMER'S ASSOCIATION<br>2900 WESTCHESTER AVENUE<br>PURCHASE, NY 10577                    | NONE<br>GENERAL SUPPORT                        | PUBLIC<br>CHARITY   | 5,000.  |
| CAMPBILL VILLAGE<br>84 CAMPBILL ROAD COPAKE, NY<br>12516                                   | NONE<br>GENERAL SUPPORT                        | PUBLIC<br>CHARITY   | 35,000. |

|                                                                         |                         |                   |         |
|-------------------------------------------------------------------------|-------------------------|-------------------|---------|
| CARAMOOR<br>PO BOX 816 KATONAH, NY 10536                                | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 6,000.  |
| CARNEGIE HALL SOCIETY<br>881 SEVENUE AVENUE NEW YORK, NY<br>10019       | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 10,000. |
| CHAPEL HAVEN<br>1040 WHALLEY AVENUE NEW HAVEN,<br>CT 06515              | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 10,000. |
| CHROMOSOME 18 RESEARCH SOCIETY<br>6301 FOXHEAD SAN ANTONIO, TX<br>78247 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 5,000.  |
| CLARK ART INSTITUTE<br>WILLIAMSTOWN, MA 01267                           | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 10,000. |
| CONNECTICUT COLLEGE<br>270 MOHEGAN AVENUE NEW LONDON,<br>CT 06320       | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |
| CYSTIC FIBROSIS FOUNDATION<br>6931 ARLINGTON ROAD BETHSEDA,<br>MD 20814 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 50,000. |
| ANDROSCOGGIN ALUMNI ASSOC.<br>601 WEST ST. HARRISON, NY 10528           | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |
| FAIRFIELD COUNTY COMMUNITY FDN<br>523 DANBURY ROAD WILTON, CT<br>06897  | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |
| FAMILY CENTERS OF GREENWICH<br>40 ARCH STREET GREENWICH, CT<br>06830    | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 20,000. |

|                                                                            |                         |                   |         |
|----------------------------------------------------------------------------|-------------------------|-------------------|---------|
| FIGURE SKATING IN HARLEM<br>361 WEST 125TH ST. NEW YORK, NY<br>10027       | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |
| GEMS<br>1111 EAST PUTNAM AVENUE<br>RIVERSIDE, CT 06878                     | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 2,000.  |
| FSH SOCIETY<br>64 GROVE STREET WATERTOWN, MA<br>02472                      | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 20,000. |
| GREENWICH ACADEMY<br>200 NORTH MAPLE AVENUE<br>GREENWICH, CT 06830         | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 10,000. |
| GREENWICH HOSPITAL<br>5 PERRYRIDGE ROAD GREENWICH, CT<br>06830             | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 25,000. |
| GREENWICH TREE CONVERVANCY<br>PO BOX 4215 GREENWICH, CT 06831              | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 2,000.  |
| GREENWICH LIBRARY<br>101 WEST PUTNAM AVENUE<br>GREENWICH, CT 06830         | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 25,000. |
| GREENWICH SYMPHONY<br>PO BOX 35 GREENWICH, CT 06830                        | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 10,000. |
| HARVARD GRAD SCHOOL OF ED<br>44R BRATTLE STREET CAMBRIDGE,<br>MA 02138     | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 2,500.  |
| HISTORICAL SOCIETY OF GREENWICH<br>39 STRICKLAND ROAD COS COB, CT<br>06807 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |

|                                                                             |                         |                   |         |
|-----------------------------------------------------------------------------|-------------------------|-------------------|---------|
| JBFCs<br>120 WEST 57TH STREET NEW YORK,<br>NY 10019                         | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 20,000. |
| LET'S GET READY<br>50 BROADWAY SUITE 806 NEW YORK,<br>NY 10004              | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 20,000. |
| LARCHMONT TEMPLE<br>75 LARCHMONT AVENUE LARCHMONT,<br>NY 10538              | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |
| LITERACY VOLUNTEERS OF AMERICA<br>141 FRANKLIN STREET STAMFORD,<br>CT 06901 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 10,000. |
| METROPOLITAN MUSEUM OF ART<br>1000 FIFTH AVENUE NEW YORK, NY<br>10028       | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |
| METROPOLITAN OPERA<br>LINCOLN CENTER NEW YORK, NY<br>10023                  | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 15,000. |
| MIANUS RIVER GORE PRESERVE<br>167 MIANUS RIVER ROAD BEDFORD,<br>NY 10506    | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 5,000.  |
| MT SINAI SCHOOL OF MEDICINE<br>ONE GUSTAVE LEVY PLACE NEW<br>YORK, NY 10029 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 2,000.  |
| MULTIPLE MYELOMA RESEARCH FDN<br>383 MAIN AVENUE NORWALK, CT<br>06851       | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 25,000. |
| NEADS<br>PO BOX 213 WEST BOYLSTON, MA<br>01583                              | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 5,000.  |

|                                                                                |                         |                   |         |
|--------------------------------------------------------------------------------|-------------------------|-------------------|---------|
| NEW YORK HISTORICAL SOCIETY<br>TWO WEST 77TH STREET NEW YORK,<br>NY 10024      | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |
| NYU SCHOOL OF MEDICINE<br>560 FIRST AVENUE NEW YORK, NY<br>10016               | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |
| PLANNED PARENTHOOD OF CT<br>129 WHITNEY AVENUE NEW HAVEN,<br>CT 06510          | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 26,000. |
| PURCHASE CONSERVATORY OF MUSIC<br>735 ANDERSON HILL ROAD<br>PURCHASE, NY 10577 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 62,000. |
| ROOM TO READ<br>PO BOX 29127 SAN FRANCISCO, CA<br>92129                        | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,250.  |
| REACH PREP<br>115 EAST PUTNAM AVENUE<br>GREENWICH, CT 06830                    | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |
| READING REFORM FOUNDATION<br>333 WEST 57TH STREET NEW YORK,<br>NY 10019        | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 5,000.  |
| REACH PREP<br>2777 SUMMER STREET STAMFORD, CT<br>06905                         | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 25,000. |
| SHAKESPEARE ON THE SOUND<br>PO BOX 15 NORWALK, CT 06853                        | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 10,000. |
| KIDS IN CRISIS<br>1 SALEM STREET COS COB, CT<br>06807                          | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |



|                                                                                    |                         |                   |         |
|------------------------------------------------------------------------------------|-------------------------|-------------------|---------|
| STANFORD GRADUATE SCHOOL OF<br>BUSINESS<br>518 MEMORIAL WAY STANFORD, CA<br>94305. | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 5,000.  |
| SUMMER CAMP<br>8 CHURCH STREET BRIDGTON, ME<br>04009                               | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 6,000.  |
| TAFT SCHOOL<br>WATERTOWN, CT 06795                                                 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 6,000.  |
| TEMPLE SHOLOM<br>300 EAST PUTNAM AVENUE<br>GREENWICH, CT 06830                     | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 37,000. |
| TRICKLE UP PROGRAM<br>104 WEST 27TH STREET NEW YORK,<br>NY 10001                   | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 50,000. |
| WASHINGTON INSTITUTE<br>1828 L STREET NW WASHINGTON, DC<br>20036                   | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 10,000. |
| UJA/FEDERATION OF GREENWICH<br>1 HOLLY HILL LANE GREENWICH, CT<br>06830            | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 6,500.  |
| WESTCHESTER PHILHARMONIC<br>123 MAIN STREET SUITE 701 WHITE<br>PLAINS, NY 10601    | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 5,000.  |
| WORLD LEARNING<br>PO BOX 676 KIPLING ROAD<br>BRATTLEBORO, VT 05302                 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 5,000.  |
| WILLIAMS COLLEGE<br>BOX 231 WILLIAMSTOWN, MA 01267                                 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 5,000.  |

|                                                                                |                         |                   |          |
|--------------------------------------------------------------------------------|-------------------------|-------------------|----------|
| YALE ALUMNI FUND<br>PO BOX 803 NEW HAVEN, CT 06503                             | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 5,000.   |
| YALE ART MUSEUMS<br>PO BOX 208271 NEW HAVEN, CT<br>06520                       | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 2,000.   |
| YALE CANCER CENTER<br>157 CHURCH STREET NEW HAVEN, CT<br>06510                 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 10,000.  |
| YALE SLIFCA CENTER FOR JEWISH<br>LIFE<br>80 WALL STREET NEW HAVEN, CT<br>06511 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 500,000. |
| YMCA OF GREENWICH<br>EAST PUTNAM AVENUE GREENWICH,<br>CT 06830                 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 25,000.  |
| CAGV EDUCATION FUND<br>PO BOX 523 SOUTHPORT, CT 06890                          | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.   |
| GLOBAL CAMPS AFRICA<br>1606 WASHINGTON PLAZA WEST<br>RESTON, VA 20190          | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 10,000.  |
| CHILD GUIDANCE CENTER OF SO. CT.<br>196 GREYROCK PLACE STAMFORD, CT<br>06901   | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 35,000.  |
| LYMAN ALLYN ART MUSEUM<br>625 WILLIAMS STREET NEW LONDON,<br>CT 06320          | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 5,000.   |
| GREENWICH BALLET ACADEMY<br>BOX 1561 GREENWICH, CT 06830                       | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 51,000.  |

|                                                                                   |                         |                   |          |
|-----------------------------------------------------------------------------------|-------------------------|-------------------|----------|
| GREENWICH BOYS & GIRLS CLUB<br>4 HORSENECK LANE GREENWICH, CT<br>06830            | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 12,000.  |
| FRIENDS OF AUTISTIC PEOPLE<br>974 NORTH STREET GREENWICH, CT<br>06831             | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 2,000.   |
| NATURAL HISTORY MUSEUM OF ADKS<br>45 MUSEUM DRIVE TUPPER LAKE, NY<br>12986        | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.   |
| FRIENDS OF OFANIM<br>107 MERRITT 7, 2ND FLOOR<br>NORWALK, CT 06581                | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 100,000. |
| MARLBORO SCHOOL OF MUSIC<br>1616 WALNUT STREET<br>PHILADELPHIA, PA 19103          | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 10,000.  |
| METS FOUNDATION<br>123-01 ROOSEVELT AVENUE<br>FLUSHING, NY 11368                  | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.   |
| MASSACHUSETTS GENERAL HOSP;ITAL<br>165 CAMBRIDGE STREET BOSTON, MA<br>02114       | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.   |
| MERRITT PARKWAY CONSERVANCY<br>GREENWICH, CT 06830                                | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.   |
| MELVIN YAHR INTL PARKINSON'S FDN<br>250 NORTH BEDFORD ROAD<br>CHAPPAQUA, NY 10514 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 2,000.   |
| NATIONAL MULTIPLE SCLEROSIS<br>SOCIETY<br>900 SOUTH BROADWAY DENVER, CO<br>80209  | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 2,000.   |

|                                                                                     |                         |                   |         |
|-------------------------------------------------------------------------------------|-------------------------|-------------------|---------|
| NATIONAL MULTIPLE SCLEROSIS SOCIETY<br>659 TOWER AVENUE HARTFORD, CT 06112.         | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |
| NATIONAL PARKINSON FOUNDATION<br>1501 NW 9TH STREET MIAMI, FL 33136                 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 5,000.  |
| MOUNT KISCO CHILD CARE CENTER<br>95 RADIO CIRCLE MT KISCO, NY 10549                 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 10,000. |
| JCC OF MID-WESTCHESTER<br>999 WILMOT ROAD SCARSDALE, NY 10583                       | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 2,000.  |
| JULIARD SCHOOL<br>60 LINCOLN CENTER PLAZA NEW YORK, NY 10023                        | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 5,000.  |
| JUVENILE DIABETES<br>200 CONNECTICUT AVENUE NORWALK, CT 06854                       | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |
| LINCOLN CENTER<br>70 LINCOLN CENTER PLAZA NEW YORK, NY 10023                        | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,500.  |
| PACKARD CENTER FOR ALS<br>100 NORTH CHARLES STREET BALTIMORE, MD 21201              | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 2,000.  |
| PARTNERSHIP FOR CHILDREN'S RIGHTS<br>271 MADISON AVENUE STE 1007 NEW YORK, NY 10016 | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 10,000. |
| SPECIAL OLYMPICS OF CT<br>2666 STATE STREET HAMDEN, CT 06517                        | NONE<br>GENERAL SUPPORT | PUBLIC<br>CHARITY | 1,000.  |

TOTAL TO FORM 990-PF, PART XV, LINE 3A

1,495,750.

S&L Marx Foundation, Inc.  
E.I.N. 20-0677535  
Rider to December 31, 2009 Form 990-PF

Through 2009, the Virginia and Leonard Marx Foundation (hereinafter the "Parent Foundation"), made "significant disposition of assets," as defined in Treasury Regulations §1.507-3(c)(1), to three private foundations (hereinafter the "Successor Foundations").

As a result of making "significant disposition of assets," under Treasury Regulation §1.507-3(a)(1), the successor Foundations, as transferee organizations, are treated as possessing those attributes and characteristics of the transferor organization which are described in Treasury Regulation §1.507-3(a)(2), (3) and (4). Since the Parent Foundation has not distributed all of its assets to the Successor Foundations, the successor Foundations will succeed, pursuant to Treasury Regulation §1.507-3(a)(9)(i), to the attributes and characteristics of the Parent Foundation, as transferor, in their respective proportional shares.

Through 2009, the Parent Foundation distributed approximately 99% of its assets to Successor Foundations, with each of the Successor Foundations receiving approximately 33.33% of the Parent Foundation's assets. At the end of December 31, 2008, the Parent Foundation had an excess distribution of \$6,609,579. Each of the Successor Foundations assumed 99% of 33.33% of this carryover, namely \$2,176,537. Such amount was utilized by S&L Marx Foundation, Inc. in 2008.

With respect to the qualification of each of the Successor Foundations under §4940(e) of the Internal Revenue Code for the 1% excise tax rate and the completion of Part V of their respective Forms 990-PF, each of the Successor Foundations have added to its ratios 99% of 33.33% of the Parent Foundation's December 31, 2008 Adjusted Qualifying Distributions amounting to \$2,478,884 and Net Value of Noncharitable-Use Assets amounting to \$6,079,703.

|                       | Per TR     | Add       | New Total  |
|-----------------------|------------|-----------|------------|
| Adjusted Qual Dist    | 3,964,072  | 2,478,884 | 6,442,956  |
| Non-Charitable Assets | 57,928,281 | 6,079,703 | 64,007,984 |

During the short year period January 1, 2009 to June 2, 2009, the Parent Foundation distributed the remainder of its assets to Successor Foundations, with each of the Successor Foundations receiving approximately 33.33% of the Parent Foundation's assets. At the end of June 2, 2009, the Parent Foundation had an excess distribution of \$138,094. Each of the Successor Foundations assumed 33.33% of this amount, namely \$46,031. This amount was added to the amount from Part I, line 26, column (d), which was \$1,592,254 to arrive at the amount of \$1,638,285 which is shown on Part XII, line 6.

# 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](http://www.irs.gov/efile) and click on e-file for Charities & Nonprofits.

|                                                                                     |                                                                                                                        |                                                         |
|-------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------|
| Type or print<br><br>File by the due date for filing your return. See instructions. | Name of Exempt Organization<br><br><b>S&amp;L MARX FOUNDATION, INC.</b>                                                | Employer identification number<br><br><b>20-0677535</b> |
|                                                                                     | Number, street, and room or suite no. If a P.O. box, see instructions.<br><b>15 EAST PUTNAM AVENUE, NO. 270</b>        |                                                         |
|                                                                                     | City, town or post office, state, and ZIP code. For a foreign address, see instructions.<br><b>GREENWICH, CT 06830</b> |                                                         |

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 (sec. 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 |

### **CUMMINGS & LOCKWOOD LLC (N. MARX)**

- The books are in the care of ► **SIX LANDMARK SQUARE, 8TH FLOOR - STAMFORD, CT 06901**  
Telephone No. ► **203-327-1700** 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 **AUGUST 15, 2010**, to file the exempt organization return for the organization named above. The extension is for the organization's return for:  
► ☒ calendar year **2009** or  
► ☐ tax year beginning \_\_\_\_\_, and ending \_\_\_\_\_.

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

|                                                                                                                                                                                                                                     |           |    |                |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----|----------------|
| <b>3a</b> 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.                                                                          | <b>3a</b> | \$ | <b>45,000.</b> |
| <b>b</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.                                                     | <b>3b</b> | \$ | <b>22,000.</b> |
| <b>c</b> <b>Balance Due.</b> 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 | <b>3c</b> | \$ | <b>23,000.</b> |

**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

LHA For Privacy Act and Paperwork Reduction Act Notice, see Instructions.

Form **8868** (Rev. 4-2009)