Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

Note. The foundation may be able to use a copy of this return to satisfy state reporting requirements

OMB No 1545-0052

2009

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 change

Use the IRS label Otherwise, print or type. See Specific Instructions.

Name of foundation
THE WINTHROP H. SMITH JR.
CHARITABLE FOUNDATION, INC.

Number and street (or P O box number if mail is not delivered to street address) | Room/suite
C/O MASOTTI&MASOTTI 1100 SUMMER ST 4FL

City or town, state, and ZIP code
STAMFORD, CT 06905-5534

A Employer identification number 20-2642648

B Telephone number 802-583-6332

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: [X] 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)* ▶$ 1,805,903.

J Accounting method: [X] Cash [ ] Accrual [ ] Other (specify) *(Part I, column (d) must be on cash basis.)*

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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)
Revenue				
1 Contributions, gifts, grants, etc, received				
2 Check ▶ [X] if the foundation is not required to attach Sch B				
3 Interest on savings and temporary cash investments	1,371.	1,371.		STATEMENT 1
4 Dividends and interest from securities	44,299.	44,299.		STATEMENT 2
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	-142,994.			
b Gross sales price for all assets on line 6a 1,641,732.				
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	-56,299.	-56,299.	0.	STATEMENT 3
12 **Total** Add lines 1 through 11	-153,623.	-10,629.	0.	
Operating and Administrative Expenses				
13 Compensation of officers, directors, trustees, etc	0.	0.	0.	0.
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees				
b Accounting fees STMT 4	2,052.	2,052.	0.	0.
c Other professional fees				
17 Interest				
18 Taxes STMT 5	129.	0.	0.	0.
19 Depreciation and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses STMT 6	9,878.	9,878.	0.	0.
24 **Total operating and administrative expenses.** Add lines 13 through 23	12,059.	11,930.	0.	0.
25 Contributions, gifts, grants paid	287,125.			287,125.
26 **Total expenses and disbursements** Add lines 24 and 25	299,184.	11,930.	0.	287,125.
27 Subtract line 26 from line 12				
a Excess of revenue over expenses and disbursements	-452,807.			
b **Net investment income** (if negative, enter -0-)		0.		
c **Adjusted net income** (if negative, enter -0-)			0.	

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02-02-10 LHA **For Privacy Act and Paperwork Reduction Act Notice, see the instructions.**

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	253,443.	476,339.	476,339.
	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 7	737,818.	1,203,198.	1,244,457.
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 8	1,226,190.	85,107.	85,107.
	14 Land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 **Total assets** (to be completed by all filers)	2,217,451.	1,764,644.	1,805,903.
Liabilities	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 ▶ [X] and complete lines 24 through 26 and lines 30 and 31**			
	24 Unrestricted	2,217,451.	1,764,644.	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ [ ] 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**	2,217,451.	1,764,644.	
	31 **Total liabilities and net assets/fund balances**	2,217,451.	1,764,644.	

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	2,217,451.
2 Enter amount from Part I, line 27a	2	-452,807.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	1,764,644.
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	1,764,644.

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1a	MERRILL LYNCH 7135	P		
b	MERRILL LYNCH 7135	P		
c	MERRILL LYNCH B39	P		
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	1,047,645.		993,117.	54,528.
b	582,879.		756,236.	-173,357.
c	11,208.		35,373.	-24,165.
d				
e				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a				54,528.
b				-173,357.
c				-24,165.
d				
e				

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } **2** -142,994.

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)
If gain, also enter in Part I, line 8, column (c)
If (loss), enter -0- in Part I, line 8 **3** 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 Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2008	222,575.	2,412,988.	.092240
2007	228,700.	2,749,242.	.083187
2006	176,425.	2,713,791.	.065011
2005	60,200.	545,670.	.110323
2004	895,323.	1,490,787.	.600571

2	Total of line 1, column (d)	2	.951332
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	.190266
4	Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	1,642,975.
5	Multiply line 4 by line 3	5	312,602.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	0.
7	Add lines 5 and 6	7	312,602.
8	Enter qualifying distributions from Part XII, line 4	8	287,125.

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

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 ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter ________ (attach copy of letter if necessary-see instructions)				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b			1	0.
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			2	0.
3	Add lines 1 and 2			3	0.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			4	0.
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-			5	0.
6	Credits/Payments				
a	2009 estimated tax payments and 2008 overpayment credited to 2009	6a	2,781.		
b	Exempt foreign organizations - tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c			
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments Add lines 6a through 6d			7	2,781.
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached			8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	2,781.
11	Enter the amount of line 10 to be **Credited to 2010 estimated tax** ▶ 2,781. **Refunded** ▶			11	0.

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?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for definition)?	1b		X
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ 0. **(2)** On foundation managers ▶ $ 0.			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ 0.			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		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*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either ● By language in the governing instrument, or ● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6		X
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ DE			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	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*	9		X
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

Part VII-A Statements Regarding Activities *(continued)*

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? N/A	13		

Website address ▶ N/A

14 The books are in care of ▶ WINTHROP H. SMITH, JR Telephone no ▶802-583-6332

Located at ▶246 GALLOPING WIND TRAIL, WARREN, VT ZIP+4 ▶05674

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ | 15 | 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? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ 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)? N/A	1b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?	1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? ☐ Yes ☒ No			
	If "Yes," list the years ▶ ______, ______, ______, ______			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions) N/A	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ ______, ______, ______, ______			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ 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	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009?	4b		X

Form **990-PF** (2009)

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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? N/A ☐ Yes ☐ No

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

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** No: 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
SEE STATEMENT 9		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

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.

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	1,119,735.
b	Average of monthly cash balances	1b	548,260.
c	Fair market value of all other assets	1c	
d	**Total** (add lines 1a, b, and c)	1d	1,667,995.
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	1,667,995.
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	25,020.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	1,642,975.
6	**Minimum investment return.** Enter 5% of line 5	6	82,149.

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	82,149.
2a	Tax on investment income for 2009 from Part VI, line 5 — 2a:		
b	Income tax for 2009 (This does not include the tax from Part VI) — 2b:		
c	Add lines 2a and 2b	2c	0.
3	Distributable amount before adjustments Subtract line 2c from line 1	3	82,149.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	82,149.
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	82,149.

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	287,125.
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	287,125.
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	287,125.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				82,149.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			0.	
b Total for prior years ____ , ____ , ____		0.		
3 Excess distributions carryover, if any, to 2009				
a From 2004 896,150.				
b From 2005 39,127.				
c From 2006 44,476.				
d From 2007 95,506.				
e From 2008 103,425.				
f Total of lines 3a through e	1,178,684.			
4 Qualifying distributions for 2009 from Part XII, line 4 ▶ $ 287,125.				
a Applied to 2008, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2009 distributable amount				82,149.
e Remaining amount distributed out of corpus	204,976.			
5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	1,383,660.			
b Prior years' undistributed income Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount - see instructions		0.		
e Undistributed income for 2008 Subtract line 4a from line 2a Taxable amount - see instr			0.	
f Undistributed income for 2009 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2010				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2004 not applied on line 5 or line 7	896,150.			
9 **Excess distributions carryover to 2010** Subtract lines 7 and 8 from line 6a	487,510.			
10 Analysis of line 9				
a Excess from 2005 39,127.				
b Excess from 2006 44,476.				
c Excess from 2007 95,506.				
d Excess from 2008 103,425.				
e Excess from 2009 204,976.				

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

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2009, enter the date of the ruling ▶

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

	Tax year	Prior 3 years			
	(a) 2009	(b) 2008	(c) 2007	(d) 2006	(e) Total
2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon a "Assets" alternative test - enter (1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation had $5,000 or more in assets at any time during the year-see the instructions.)

1 **Information Regarding Foundation Managers:**

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

WINTHROP H. SMITH JR

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

NONE

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

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

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

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

c Any submission deadlines

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year SEE ATTACHED LIST				
Total			▶ 3a	287,125.
b Approved for future payment NONE				
Total			▶ 3b	0.

Part XVI-A **Analysis of Income-Producing Activities**

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	Related or exempt function income
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	1,371.	
4 Dividends and interest from securities			14	44,299.	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income			14	-56,299.	
8 Gain or (loss) from sales of assets other than inventory			18	-142,994.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue					
a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)		0.		-153,623.	0.

13 **Total.** Add line 12, columns (b), (d), and (e) 13 -153,623.

(See worksheet in line 13 instructions to verify calculations)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes)

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

			Yes	No
1	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?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of			
	(1) Cash	1a(1)		X
	(2) Other assets	1a(2)		X
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
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

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

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
		N/A	

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		

Sign Here

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

Winthrop H. Smith Jr. — Signature of officer or trustee | 10-1-10 Date | PRESIDENT Title

Paid Preparer's Use Only

Preparer's signature | Date 09/20/10 | Check if self-employed ☐ | Preparer's identifying number

Firm's name (or yours if self-employed), address, and ZIP code: MASOTTI & MASOTTI, LLC, 1100 SUMMER STREET, STAMFORD, CT 06905 | EIN | Phone no (203) 323-1191

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	AMOUNT
INT	1,371.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	1,371.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
EQUITY SECURITIES	44,299.	0.	44,299.
TOTAL TO FM 990-PF, PART I, LN 4	44,299.	0.	44,299.

FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
PARTNERSHIP	-56,299.	-56,299.	0.
TOTAL TO FORM 990-PF, PART I, LINE 11	-56,299.	-56,299.	0.

FORM 990-PF ACCOUNTING FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING	2,052.	2,052.	0.	0.
TO FORM 990-PF, PG 1, LN 16B	2,052.	2,052.	0.	0.

FORM 990-PF TAXES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL EXCISE TAX	129.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 18	129.	0.	0.	0.

FORM 990-PF OTHER EXPENSES STATEMENT 6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BANK FEES	2,370.	2,370.	0.	0.
INVESTMENT FEES	7,508.	7,508.	0.	0.
TO FORM 990-PF, PG 1, LN 23	9,878.	9,878.	0.	0.

FORM 990-PF CORPORATE STOCK STATEMENT 7

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
VARIOUS CORPORATE STOCKS	1,203,198.	1,244,457.
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,203,198.	1,244,457.

FORM 990-PF OTHER INVESTMENTS STATEMENT 8

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
MUTUAL FUNDS/DEFINED ASSETS	COST	0.	0.
PRIVATE EQUITY	COST	85,107.	85,107.
TOTAL TO FORM 990-PF, PART II, LINE 13		85,107.	85,107.

FORM 990-PF PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS STATEMENT 9

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN-SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
WINTHROP H. SMITH JR 246 GALLOPING WIND TRAIL WARREN, VT 05674	PRESIDENT/DIR 0.00	0.	0.	0.
HEATHER SMITH 160 BROOKVIEW AVE FAIRFIELD, CT 06825	SECRETARY/DIR 0.00	0.	0.	0.
CHRISTINA S. DISABATO 66 PARKWOOD ROAD FAIRFIELD, CT 06824	TREASURER/DIR 0.00	0.	0.	0.
CAMERON SMITH 4734 OAK STREET KANSAS CITY, MO 64112	DIRECTOR 0.00	0.	0.	0.
WINTHROP H. SMITH III 155 ALAIN WHITE ROAD MORRIS , CT 06763	DIRECTOR 0.00	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		0.	0.	0.

THE WINTHROP H. SMITH JR. CHARITABLE FOUNDATION, INC
GRANTS & CONTRIBUTIONS PAID DURING THE YEAR
PERIOD JANUARY 1, 2009 - DECEMBER 31, 2009
FEI # 20-2642648

	Recipient Name and Address	Recipient Status	Purpose of Grant	Recipient Relationship	Amount
1	Green Mountain Cultural Center 1661 East Warren Road, Waitsfield, VT 05673	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	2,500.00
2	Mad River Valley Comm Fund P.O. Box 337 Warren, VT 05674	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	6,175 00
3	Vermont Food Bank 284 Vt Route 100, Wareen, Vt 05674	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	50 00
4	Mad River Lions Club Mad River Valley Chamber of Commerce General Wait House Route 100 • PO Box 173 Waitsfield, VT 05673	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	100 00
5	Mountain United Meth P. O. Box 67, Plymouth, VT 05056	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	75.00
6	Moretown Elem School 940 Old Route 100 Moretown, VT 05673-7110	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	75.00
7	Vermont Fest of the Arts 5101 Main Street Waitsfield, VT 05673-7110	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	8,150 00
8	Roots Work Rootswork, PO Box 31, Warren, VT 05674	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	400 00
9	MORETOWN ~~Moretown~~ Library ~~Springfield Town Library~~ ~~43 Main St~~ 897 RTE 100 B ~~Springfield, VT 05156~~ MORETOWN, VT 05660	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	400 00
10	MRV Rotary 4429 Main Street, Waitsfield, Vermont, 05673	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	500.00

THE WINTHROP H. SMITH JR. CHARITABLE FOUNDATION, INC
GRANTS & CONTRIBUTIONS PAID DURING THE YEAR
PERIOD JANUARY 1, 2009 - DECEMBER 31, 2009
FEI # 20-2642648

	Recipient Name and Address	Recipient Status	Purpose of Grant	Recipient Relationship	Amount
11	Cub Scouts #798 c/o Susan Lee 5081 Main Street Waitsfield, VT 05673	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	975 00
12	Boys & Girls Club 62 Oak Street Burlington, VT 05401	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	50.00
13	Warren FD P.O Box 337 Warren, VT 05674	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	550 00
14	Barre Tones 575 East Hill Rd Middlesex, VT 05602	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	500.00
15	Spring Hill School Scholarship 63 Spring Hill Rd Waitsfield, VT, 05673	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	75 00
16	Valley Food Shelf 713 Hartford Avenue White River Junction, VT 05001	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	500 00
17	Peter's Fund c/o David J Newton 36 Concord Square Boston, MA 02118	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	1,000 00
18	Green Mountain Opera Festival PO Box 1362 Waitsfield, VT 05673 USA	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	1,000 00
19	The Skinner Barn 609 Common Road Waitsfield, VT 05673-7182	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	7,500 00
20	Amherst College Amherst MA 01002-5000	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	120,000 00
21	Yestermorrow 189 Route 100 Warren, VT 05674	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	5,000 00

THE WINTHROP H. SMITH JR. CHARITABLE FOUNDATION, INC
GRANTS & CONTRIBUTIONS PAID DURING THE YEAR
PERIOD JANUARY 1, 2009 - DECEMBER 31, 2009
FEI # 20-2642648

Recipient Name and Address	Recipient Status	Purpose of Grant	Recipient Relationship	Amount
22 Amherst College Alumni Find Amherst College Amherst MA 01002-5000	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	1,000 00
23 Champlain College 163 South Willard Street Burlington, VT 05401-3950	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	10,000 00
24 Town of Warren Conservation Re P.O Box 337 Warren, VT 05674	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	10,000 00
25 Chitten Solid Waste District 1021 Redmond Rd, Williston, VT 05495-7729	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	1,000 00
26 Mad River Chorale Post Office Box 158 Waitsfield, VT 05673	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	15,000.00
27 Camp Ta Kum Ta PO Box 576 Waterbury, VT 05676	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	500 00
28 Vermont Land Trust 8 Bailey Avenue, Montpelier, VT 05602	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	10,000 00
29 Northern Vermont Regional NSP 938 Maston Hill Rd Granville, VT 05747	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	1,000 00
30 ~~Skaton~~ SKATIUM c/o Don Swain 102 Dugway Road, Waitsfield, VT 05673-6004	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	30,000.00
31 Vermont Folklife Center 88 Main Street Middlebury, VT 05753-1425	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	1,000 00
32 Mad River Path Assn PO Box 683, Waitsfield, VT 05673	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	750 00

THE WINTHROP H. SMITH JR. CHARITABLE FOUNDATION, INC
GRANTS & CONTRIBUTIONS PAID DURING THE YEAR
PERIOD JANUARY 1, 2009 - DECEMBER 31, 2009
FEI # 20-2642648

Recipient Name and Address	Recipient Status	Purpose of Grant	Recipient Relationship	Amount
33 Vermont Family Military Assist Vermont State Family Readiness Programs Personnel 789 Vermont National Guard Road Building 10-14 Colchester, VT 05446	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	1,000.00
34 Fnends Of Harwood Music 458 Route 100, South Duxbury, Vermont 05660	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	800 00
35 Vermont Youth Conservation Cor 1949 East Main Street Richmond, VT 05477	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	5,000 00
36 Green Mountain Valley Ski School 271 Moulton Road Waitsfield, Vermont 05673	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	5,000.00
37 Boston University Boston University One Silber Way Boston, MA 02215	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	10,000 00
38 The Mary Haas Ovarian Cancer F Community Foundation of New Jersey Post Office Box 338 Morristown, New Jersey 07963-0338	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	4,000.00
39 Michael J Fox FDN The Michael J Fox Foundation for Parkinson's Research Church Street Station P O Box 780 New York, NY 10008-0780	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	25,000 00
40 Vermont Public Radio 365 Troy Avenue Colchester, VT 05446	501 (c) (3)	To Promote the Organization's Exempt Purposes	None	500.00
TOTAL GRANTS & CONTRIBUTIONS PAID DURING THE YEAR:				287,125 00

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

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

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

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

Type or print File by the extended due date for filing the return See instructions	Name of Exempt Organization THE WINTHROP H. SMITH JR. CHARITABLE FOUNDATION, INC.	**Employer identification number** 20-2642648
	Number, street, and room or suite no If a P.O. box, see instructions. C/O MASOTTI&MASOTTI 1100 SUMMER ST 4FL	For IRS use only
	City, town or post office, state, and ZIP code For a foreign address, see instructions. STAMFORD, CT 06905-5534	

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

[ ] Form 990 [ ] Form 990-EZ [ ] Form 990-T (sec. 401(a) or 408(a) trust) [ ] Form 1041-A [ ] Form 5227 [ ] Form 8870
[ ] Form 990-BL [X] Form 990-PF [ ] Form 990-T (trust other than above) [ ] Form 4720 [ ] Form 6069

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

- The books are in the care of ▶ WINTHROP H. SMITH, JR
246 GALLOPING WIND TRAIL - WARREN, VT 05674

Telephone No. ▶ 802-583-6332 FAX No ▶

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

4 I request an additional 3-month extension of time until NOVEMBER 15, 2010.

5 For calendar year 2009 , or other tax year beginning ______ , and ending ______ .

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

7 State in detail why you need the extension
ADDITIONAL TIME IS REQUIRED SINCE THE ORGANIZATION IS STILL WAITING FOR INFORMATION NEEDED TO PROPERLY COMPLETE THE RETURN.

8a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	8a	$ 566.
b	If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868	8b	$ 2,781.
c	**Balance Due.** Subtract line 8b from line 8a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions	8c	$ 0.

Signature and Verification

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

Signature ▶ Title ▶ PRESIDENT Date ▶