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 , 2009, 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

JMP Foundation Inc.
c/o Toni Novak, 11 Clifton Avenue
Merchantville, NJ 08109

A Employer identification number 20-3462159

B Telephone number (see the instructions) 800-839-1754

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, column (c), line 16) ► $ 9,265,853.

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

| **Part I** Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see the instructions)) | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|
| 1 Contributions gifts grants etc received (att sch) | | | | |
| 2 Ck ► [X] if the foundn is not req to att Sch B | | | | |
| 3 Interest on savings and temporary cash investments | 2,780. | 2,780. | N/A | |
| 4 Dividends and interest from securities | 189,957. | 189,957. | | |
| 5a Gross rents | | | | |
| b Net rental income or (loss) | | | | |
| 6a Net gain/(loss) from sale of assets not on line 10 | -183,072. | | | |
| b Gross sales price for all assets on line 6a 5,124,155. | | | | |
| 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/(loss) (att sch) | | | | |
| 11 Other income (attach schedule) See Statement 1 | 172,346. | 201,911. | | |
| 12 **Total.** Add lines 1 through 11 | 182,011. | 394,648. | | |
| 13 Compensation of officers directors trustees etc | 0. | | | |
| 14 Other employee salaries and wages | | | | |
| 15 Pension plans, employee benefits | | | | |
| 16a Legal fees (attach schedule) | | | | |
| b Accounting fees (attach sch) | | | | |
| c Other prof fees (attach sch) See St 2 | 50,074. | 50,074. | | |
| 17 Interest | | | | |
| 18 Taxes (attach schedule)(see instr) See Stm 3 | 16,038. | 3,379. | | |
| 19 Depreciation (attach sch) and depletion | | | | |
| 20 Occupancy | | | | |
| 21 Travel, conferences, and meetings | | | | |
| 22 Printing and publications | | | | |
| 23 Other expenses (attach schedule) See Statement 4 | 41,368. | 7,039. | | 34,166. |
| 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 107,480. | 60,492. | | 34,166. |
| 25 Contributions, gifts, grants paid Part XV | 503,900. | | | 503,900. |
| 26 **Total expenses and disbursements.** Add lines 24 and 25 | 611,380. | 60,492. | | 538,066. |
| 27 Subtract line 26 from line 12: | | | | |
| a **Excess of revenue over expenses and disbursements** | -429,369. | | | |
| b **Net investment income** (if negative enter 0) | | 334,156. | | |
| c **Adjusted net income** (if negative enter 0) | | | | |

REVENUE — OPERATING AND ADMINISTRATIVE EXPENSES

RECEIVED AUG 2 3 2010 OGDEN, UT 569 IRS-OSC

SCANNED AUG 2 4 2010

## Part II Balance Sheets

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

| | | Beginning of year (a) Book Value | End of year (b) Book Value | (c) Fair Market Value |
|---|---|---|---|---|
| ASSETS | 1 Cash – non-interest-bearing | | | |
| | 2 Savings and temporary cash investments | 1,004,443. | 705,779. | 705,779. |
| | 3 Accounts receivable ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| | 4 Pledges receivable ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see the instructions) | | | |
| | 7 Other notes and loans receivable (attach sch) ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10a Investments – U S and state government obligations (attach schedule) Statement 5 | 999,094. | 1,240,357. | 1,288,006. |
| | b Investments – corporate stock (attach schedule) Statement 6 | 4,045,258. | 3,781,188. | 3,742,432. |
| | c Investments – corporate bonds (attach schedule) Statement 7 | 1,218,853. | 1,004,150. | 1,073,206. |
| | 11 Investments – land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 Investments – mortgage loans | | | |
| | 13 Investments – other (attach schedule) Statement 8 | 2,682,274. | 2,819,079. | 2,456,430. |
| | 14 Land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 15 Other assets (describe ▶ ) | | | |
| | 16 Total assets (to be completed by all filers – see instructions Also, see page 1, item I) | 9,949,922. | 9,550,553. | 9,265,853. |
| LIABILITIES | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, & other disqualified persons | | | |
| | 21 Mortgages and other notes payable (attach schedule) | | | |
| | 22 Other liabilities (describe ▶ ) | | | |
| | 23 **Total liabilities** (add lines 17 through 22) | 0. | 0. | |
| NET ASSETS OR FUND BALANCES | **Foundations that follow SFAS 117, check here ▶ [ ] and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 Unrestricted | | | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | **Foundations that do not follow SFAS 117, check here ▶ [X] and complete lines 27 through 31.** | | | |
| | 27 Capital stock, trust principal, or current funds | | | |
| | 28 Paid-in or capital surplus, or land, building, and equipment fund | | | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | 9,949,922. | 9,550,553. | |
| | 30 **Total net assets or fund balances** (see the instructions) | 9,949,922. | 9,550,553. | |
| | 31 **Total liabilities and net assets/fund balances** (see the instructions) | 9,949,922. | 9,550,553. | |

## 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 | 9,949,922. |
| 2 | Enter amount from Part I, line 27a | 2 | -429,369. |
| 3 | Other increases not included in line 2 (itemize) ▶ See Statement 9 | 3 | 30,000. |
| 4 | Add lines 1, 2, and 3 | 4 | 9,550,553. |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30 | 6 | 9,550,553. |

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

| | (a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shares MLC Company) | (b) How acquired P — Purchase D — Donation | (c) Date acquired (month day year) | (d) Date sold (month day year) |
|---|---|---|---|---|
| 1a | Publicly-traded securities | P | Various | Various |
| b | Passthrough K-1 Capital Loss | P | Various | Various |
| c | | | | |
| d | | | | |
| e | | | | |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 5,132,468. | | 5,307,227. | -174,759. |
| b | -8,313. | | | -8,313. |
| c | | | | |
| d | | | | |
| e | | | | |

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

| | (i) Fair Market Value as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of column (i) over column (j), if any | (l) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h)) |
|---|---|---|---|---|
| a | | | | |
| b | | | | |
| c | | | | |
| 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 | -183,072. |
| 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) (see the instructions) If (loss), enter -0- in Part I, line 8 | 3 | 0. |

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (column (b) divided by column (c)) |
|---|---|---|---|
| 2008 | 536,252. | 9,667,591. | 0.055469 |
| 2007 | 516,268. | 12,331,475. | 0.041866 |
| 2006 | 80,803. | 10,776,161. | 0.007498 |
| 2005 | 1,334. | 1,850,456. | 0.000721 |
| 2004 | | | |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | 0.105554 |
| 3 | Average distribution ratio for the 5-year base period — divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | 0.026389 |
| 4 | Enter the net value of noncharitable-use assets for 2009 from Part X, line 5 | 4 | 8,662,937. |
| 5 | Multiply line 4 by line 3 | 5 | 228,606. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 3,342. |
| 7 | Add lines 5 and 6 | 7 | 231,948. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 538,066. |

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 the instructions)

| | | | | | |
|---|---|---|---|---|---|
| **1 a** Exempt operating foundations described in section 4940(d)(2), check here ► [ ] and enter 'N/A' on line 1<br>Date of ruling or determination letter ________ **(attach copy of letter if necessary - see instr.)** | | | | | |
| **b** Domestic foundations that meet the section 4940(e) requirements in Part V, check here ► [X] and enter 1% of Part I, line 27b | | | | **1** | 3,342. |
| **c** All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, column (b) | | | | | |
| **2** Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | | | **2** | 0. |
| **3** Add lines 1 and 2 | | | | **3** | 3,342. |
| **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** | 3,342. |
| **6** Credits/Payments | | | | | |
| **a** 2009 estimated tax pmts and 2008 overpayment credited to 2009 | **6a** | 3,800. | | | |
| **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** | 3,800. |
| **8** Enter any **penalty** for underpayment of estimated tax Check here [X] if Form 2220 is attached | | | | **8** | |
| **9** **Tax due** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ► | | | | **9** | 0. |
| **10** **Overpayment** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ► | | | | **10** | 458. |
| **11** Enter the amount of line 10 to be **Credited to 2010 estimated tax** ► | | 458. | **Refunded** ► | **11** | 0. |

## Part VII-A Statements Regarding Activities

| | | Yes | No |
|---|---|---|---|
| **1 a** During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | **1a** | | X |
| **b** Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see the 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<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* | **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? | **4b** | N/A | |
| **5** Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>*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<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? | **6** | X | |
| **7** Did the foundation have at least $5,000 in assets at any time during the year? *If 'Yes,' complete Part II, column (c), and Part XV* | **7** | X | |
| **8a** Enter the states to which the foundation reports or with which it is registered (see the instructions) ►<br>PA | | | |
| **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*

| | | Line | 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? | 13 | X | |

Website address ► N/A

14 The books are in care of ► Toni Novak Telephone no ► 800-839-1754

Located at ► 11 Clifton Avenue Merchantville NJ ZIP + 4 ► 08109

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** – Check here N/A ► ☐

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.**

| | | | Line | Yes | No |
|---|---|---|---|---|---|
| **1 a** | 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 the instructions)? | | 1 b | N/A | |
| | 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? | | 1 c | | 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 ► 20__ , 20__ , 20__ , 20__ | | | | |
| **b** | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer 'No' and attach statement – see the instructions.) | | 2b | N/A | |
| **c** | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ► 20__ , 20__ , 20__ , 20__ | | | | |
| **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.)* | | 3b | N/A | |
| **4a** | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | | 4a | | X |
| **b** | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009? | | 4b | | X |

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

5a During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc, organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is 'Yes' to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? **5b** N/A

Organizations relying on a current notice regarding disaster assistance check here ► ☐

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

*If 'Yes,' attach the statement required by Regulations section 53 4945-5(d)*

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** X (No)

*If 'Yes' to 6b, file Form 8870*

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? **7b** N/A

**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**

**1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

| (a) Name and address | (b) Title and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| Joseph Papa<br>11 Clifton Ave<br>Merchantville, NJ 08109 | CEO/Dir<br>< 1 hr/wk | 0. | 0. | 0. |
| Christine A. Papa<br>11 Clifton Ave<br>Merchantville, NJ 08109 | Vice Pres<br>< 1 hr/wk | 0. | 0. | 0. |
| Juliana Drinane<br>11 Clifton Ave<br>Merchantville, NJ 08109 | Vice Pres<br>< 1 hr/wk | 0. | 0. | 0. |
| Marylee M. Pratnicki<br>11 Clifton Ave<br>Merchantville, NJ 08109 | Sec/Dir<br>< 1 hr/wk | 0. | 0. | 0. |

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

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

**Total** number of other employees paid over $50,000 ► 0

**Part VIII** **Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors** *(continued)*

**3 Five highest-paid independent contractors for professional services — (see instructions). If none, enter 'NONE.'**

| (a) Name and address of each person paid more than $50,000 | (b) Type of service | (c) Compensation |
|---|---|---|
| PNC Bank<br>1600 Market St, 4th Floor<br>Philadelphia, PA 19103 | Investment mgmt | 50,074. |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services ► | | 0 |

**Part IX-A** **Summary of Direct Charitable Activities**

| List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc | Expenses |
|---|---|
| 1 N/A | |
| 2 | |
| 3 | |
| 4 | |

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

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|---|---|
| 1 N/A | |
| 2 | |
| All other program-related investments See instructions<br>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 | 5,475,966. |
| b Average of monthly cash balances | | 1b | 874,994. |
| c Fair market value of all other assets (see instructions) | | 1c | 2,443,900. |
| d **Total** (add lines 1a, b, and c) | | 1d | 8,794,860. |
| 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 | 8,794,860. |
| 4 Cash deemed held for charitable activities Enter 1-1/2% of line 3 (for greater amount, see instructions) | | 4 | 131,923. |
| 5 **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | | 5 | 8,662,937. |
| 6 **Minimum investment return.** Enter 5% of line 5 | | 6 | 433,147. |

**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 | 433,147. |
| 2a Tax on investment income for 2009 from Part VI, line 5 | 2a 3,342. | | |
| b Income tax for 2009 (This does not include the tax from Part VI ) | 2b | | |
| c Add lines 2a and 2b | | 2c | 3,342. |
| 3 Distributable amount before adjustments Subtract line 2c from line 1 | | 3 | 429,805. |
| 4 Recoveries of amounts treated as qualifying distributions | | 4 | 30,000. |
| 5 Add lines 3 and 4 | | 5 | 459,805. |
| 6 Deduction from distributable amount (see instructions) | | 6 | |
| 7 **Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1 | | 7 | 459,805. |

**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 | 538,066. |
| b Program-related investments – total from Part IX-B | 1b | |
| 2 Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc, purposes | 2 | |
| 3 Amounts set aside for specific charitable projects that satisfy the a Suitability test (prior IRS approval required) | 3a | |
| b Cash distribution test (attach the required schedule) | 3b | |
| 4 **Qualifying distributions** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 538,066. |
| 5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions) | 5 | 3,342. |
| 6 **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 534,724. |

**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 | | | | 459,805. |
| **2** Undistributed income, if any, as of the end of 2009 | | | | |
| **a** Enter amount for 2008 only | | | 479,810. | |
| **b** Total for prior years 20___, 20___, 20___ | | 0. | | |
| **3** Excess distributions carryover, if any, to 2009 | | | | |
| **a** From 2004 | | | | |
| **b** From 2005 | | | | |
| **c** From 2006 | | | | |
| **d** From 2007 | | | | |
| **e** From 2008 | | | | |
| **f Total** of lines 3a through e | 0. | | | |
| **4** Qualifying distributions for 2009 from Part XII, line 4 ► $ 538,066. | | | | |
| **a** Applied to 2008, but not more than line 2a | | | 479,810. | |
| **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 | | | | 58,256. |
| **e** Remaining amount distributed out of corpus | 0. | | | |
| **5** Excess distributions carryover applied to 2009 *(If an amount appears in column (d), the same amount must be shown in column (a).)* | 0. | | | 0. |
| **6 Enter the net total of each column as indicated below:** | | | | |
| **a** Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 0. | | | |
| **b** Prior years' undistributed income Subtract line 4b from line 2b | | 0. | | |
| **c** Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | 0. | | |
| **d** Subtract line 6c from line 6b Taxable amount – see instructions | | 0. | | |
| **e** Undistributed income for 2008 Subtract line 4a from line 2a Taxable amount – see instructions | | | 0. | |
| **f** Undistributed income for 2009 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2010 | | | | 401,549. |
| **7** Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) | 0. | | | |
| **8** Excess distributions carryover from 2004 not applied on line 5 or line 7 (see instructions) | 0. | | | |
| **9 Excess distributions carryover to 2010.** Subtract lines 7 and 8 from line 6a | 0. | | | |
| **10** Analysis of line 9 | | | | |
| **a** Excess from 2005 | | | | |
| **b** Excess from 2006 | | | | |
| **c** Excess from 2007 | | | | |
| **d** Excess from 2008 | | | | |
| **e** Excess from 2009 | | | | |

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

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

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

| | Tax year | Prior 3 years | | | |
|---|---|---|---|---|---|
| | (a) 2009 | (b) 2008 | (c) 2007 | (d) 2006 | (e) Total |
| 2a 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 organization had $5,000 or more in assets at any time during the year – see instructions.)**

1 **Information Regarding Foundation Managers:**

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

See Statement 10

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<br>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 attachment | N/A | Public | See attachment | 503,900. |
| **Total** | | | ► **3a** | 503,900. |
| **b** *Approved for future payment* | | | | |
| **Total** | | | ► **3b** | |

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

| Enter gross amounts unless otherwise indicated | Unrelated business income (a) Business code | Unrelated business income (b) Amount | Excluded by section 512, 513, or 514 (c) Exclusion code | Excluded by section 512, 513, or 514 (d) Amount | (e) Related or exempt function income (see the instructions) |
|---|---|---|---|---|---|
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 2,780. | |
| 4 Dividends and interest from securities | | | 14 | 189,957. | |
| 5 Net rental income or (loss) from real estate | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | -183,072. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue | | | | | |
| a Federal Tax Refund | | | 1 | 6,827. | |
| b Passthrough K-1 income | 525990 | -36,392. | 14 | 201,911. | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | -36,392. | | 218,403. | |

13 **Total.** Add line 12, columns (b), (d), and (e) 13 182,011.

(See worksheet in the instructions for line 13 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) (See the instructions ) |
|---|---|
| N/A | |

**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 | 1 a (1) | | X |
| | **(2)** Other assets | 1 a (2) | | X |
| | **b** Other transactions | | | |
| | **(1)** Sales of assets to a noncharitable exempt organization | 1 b (1) | | X |
| | **(2)** Purchases of assets from a noncharitable exempt organization | 1 b (2) | | X |
| | **(3)** Rental of facilities, equipment, or other assets | 1 b (3) | | X |
| | **(4)** Reimbursement arrangements | 1 b (4) | | X |
| | **(5)** Loans or loan guarantees | 1 b (5) | | X |
| | **(6)** Performance of services or membership or fundraising solicitations | 1 b (6) | | X |
| | **c** Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1 c | | 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 | | | |
| | | | |
| | | | |
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**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

► [signature] Signature of officer or trustee | 8/10/10 Date | ► President / CEO Title

| **Paid Preparer's Use Only** | | | | |
|---|---|---|---|---|
| Preparer's signature | ► Jeffrey D. Haskell | Date 08-05-2010 | Check if self employed ► ☐ | Preparer's Identifying number (See **Signature** in the instrs) |
| Firm's name (or yours if self employed) address and ZIP code | ► Foundation Source<br>55 Walls Drive<br>Fairfield, CT 06824 | | EIN ► | |
| | | | Phone no ► | (800) 839-1754 |

**Statement 1**
**Form 990-PF, Part I, Line 11**
**Other Income**

| | |
|---|---|
| K-1 Income Non-UBI | 201,911 |
| K-1 Income UBI | -36,392 |
| Total K-1 Income | 165,519 |

| | (a) Revenue per Books | (b) Net Investment Income | (c) Adjusted Net Income |
|---|---|---|---|
| Federal Tax Refund | $ 6,827. | | |
| Passthrough K-1 income | 165,519. | $ 201,911. | |
| Total | $ 172,346. | $ 201,911. | $ 0. |

**Statement 2**
**Form 990-PF, Part I, Line 16c**
**Other Professional Fees**

| | (a) Expenses per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Investment management services | $ 50,074. | $ 50,074. | | |
| Total | $ 50,074. | $ 50,074. | | $ 0. |

**Statement 3**
**Form 990-PF, Part I, Line 18**
**Taxes**

| | (a) Expenses per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Excise tax | $ 2,300. | | | |
| Foreign tax | 3,379. | $ 3,379. | | |
| IRS 990-T tax | 10,000. | | | |
| IRS misc fee | 359. | | | |
| Total | $ 16,038. | $ 3,379. | | $ 0. |

**Statement 4**
**Form 990-PF, Part I, Line 23**
**Other Expenses**

| | (a) Expenses per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Administrative fees | $ 34,166. | | | $ 34,166. |
| Bank charges | 2,136. | $ 2,136. | | |
| K-1 expenses | 1,507. | 1,344. | | |
| Other deductions | 442. | 442. | | |
| Other investment expenses | 3,117. | 3,117. | | |
| Total | $ 41,368. | $ 7,039. | | $ 34,166. |

**Statement 5**
**Form 990-PF, Part II, Line 10a**
**Investments - U.S. and State Government Obligations**

| U.S. Government Obligations | Valuation Method | Book Value | Fair Market Value |
|---|---|---|---|
| Government Obligations - See attachment | Cost | $ 1,240,357. | $ 1,288,006. |
| | | $ 1,240,357. | $ 1,288,006. |
| | Total | $ 1,240,357. | $ 1,288,006. |

**Statement 6**
**Form 990-PF, Part II, Line 10b**
**Investments - Corporate Stocks**

| Corporate Stocks | Valuation Method | Book Value | Fair Market Value |
|---|---|---|---|
| Corporate Stock - See attachment | Cost | $ 3,781,188. | $ 3,742,432. |
| | Total | $ 3,781,188. | $ 3,742,432. |

**Statement 7**
**Form 990-PF, Part II, Line 10c**
**Investments - Corporate Bonds**

| Corporate Bonds | Valuation Method | Book Value | Fair Market Value |
|---|---|---|---|
| Corporate Bonds - See attachment | Cost | $ 1,004,150. | $ 1,073,206. |
| | Total | $ 1,004,150. | $ 1,073,206. |

**Statement 8**
**Form 990-PF, Part II, Line 13**
**Investments - Other**

| Other Investments | Valuation Method | Book Value | Fair Market Value |
|---|---|---|---|
| LBC Credit Partners, LP | Cost | $ 2,806,223. | $ 2,443,900. |
| Lazard Ltd | Cost | 12,856. | 12,530. |
| | Total | $ 2,819,079. | $ 2,456,430. |

**Statement 9**
**Form 990-PF, Part III, Line 3**
**Other Increases**

| | |
|---|---|
| Returned grant | $ 30,000. |
| Total | $ 30,000. |

**Statement 10**
**Form 990-PF, Part XV, Line 1a**
**Foundation Managers - 2% or More Contributors**

Joseph Papa
Marylee M. Pratnicki

**JMP Foundation Inc.**
**EIN: 20-3462159**
**Taxable Year Ending December 31, 2009**

## Form 990-PF, Part II, Line 10a - Columns (b) & (c) – U.S. and State Government Obligations

| Shares | Description/Symbol/CUSIP Number | Line 10a - Column (b) Book Value | Line 10a - Column (c) Fair Market Value |
|---|---|---|---|
| 11322 | FREDDIE MAC A75249 5 000% 04-01-38 (3128L8ZN8) | $11,051 04 | $11,635 88 |
| 36983 | FHLMC GOLD POOL # G12321 5 5% 9/1/21 (3128M1PE3) | $39,196 09 | $39,254 75 |
| 18866 | FREDDIE MAC G04542 5 500% DUE 02/01/38 (3128M6LX4) | $19,136 83 | $19,807 60 |
| 23756 | FEDL HOME LN MTG CRPPOOL #G05205 5 000% 01/01/2039 (3128M7DJ2) | $24.186 20 | $24,414 85 |
| 18455 | FHLMC POOL #1Q0232 12/1/36 (3128S4HH3) | $18,746 42 | $19,387 90 |
| 17928 | FHLMC POOL #1Q0407 VAR% 1/1/36 (3128S4NY9) | $18,202 69 | $18,716 28 |
| 50000 | FHLMC 2 25% 8/24/12 (3128X9AM2) | $50,000 00 | $50,212 00 |
| 20000 | FEDERAL NATL MTG ASSN 2 37500% 03/23/2012 CALL (3136FHEV3) | $20,298 00 | $20,307 40 |
| 7190 | FANNIE MAE 257123 5 500% 03-01-38 (31371NSL0) | $7,058 08 | $7,397 04 |
| 20000 | FEDL HOME LN MTG CRPSER 3220 CL PC 6 0% 11/15/32 (31397B4M0) | $20,437 50 | $20,806 60 |
| 25000 | FNMA NOTE 3 500% DUE 08-25-14 (31398AYW6) | $24,891 25 | $25,187 50 |
| 25000 | FNMA NTS 3% 9/29/14 (31398AZG0) | $24,982 50 | $24,906 25 |
| 10752 | FANNIE MAE 745753 4 500% 11-01-33 (31403DQE2) | $10,190 92 | $10,807 11 |
| 17911 | FNMA POOL #832351 VAR% 8/1/35 (31407JWL2) | $18,266 57 | $18,529 62 |
| 9748 | FEDL NATL MTG ASSN POOL #835760 4 500% 09/01/2035 (31407NQM8) | $9,221 21 | $9 770 76 |
| 40854 | FNMA POOL 888348 5% 5/1/22 (31410F5H4) | $39,417 87 | $42,909 51 |
| 146885 | FNMA POOL 897663 5 5% 4/1/2037 (31410UJG8) | $141,537 30 | $154,127 74 |
| 17292 | FNMA POOL #917965 6% 5/1/37 (31411XZ65) | $17,012 60 | $18,367 48 |
| 30752 | FNMA POOL 922488 6% 3/1/22 (31412D2V9) | $30,886 62 | $32 910 25 |
| 127839 | FNMA POOL #928316 6% 4/1/37 (31412LK58) | $126,440 90 | $135 868 73 |
| 28324 | FEDL NATL MTG ASSN POOL #931412 4 5% 06/01/2024 (31412PYH8) | $28,864 39 | $29 186 35 |
| 127209 | FNMA POOL #939441 5% 6/1/37 (31413AEN9) | $119,019 47 | $130 873 39 |
| 7046 | FANNIE MAE 974149 5 500% 02-01-38 (31414RWJ0) | $7,055 07 | $7 389 28 |
| 85000 | UNITED STATES TREAS BDS 4 750% 02/15/2037 (912810PT9) | $88.825 01 | $86 925 25 |
| 125000 | US T NTS - 4 250% - 08/15/2014 (912828CT5) | $134,856 25 | $134 882 50 |
| 40876 | UNITED STATES TREAS NOTE 00 62500% 04/15/2013 TIPS (912828HW3) | $37,423 17 | $41 610 73 |
| 125000 | UNITED STATES TREAS NTS 4 00000% 08/15/2018 (912828JH4) | $129,031 64 | $127 713 75 |
| 25000 | UNITED STATES TREAS NTS 3 37500% 11/15/2019 (912828LY4) | $24,121 09 | $24 058 50 |
| | TOTAL | **$1,240,357** | **$1,288,006** |

**JMP Foundation Inc.**
**EIN: 20-3462159**
**Taxable Year Ending December 31, 2009**

## Form 990-PF, Part II, Line 10b - Columns (b) & (c) - Investments: Corporate Stock

| Shares | Description/Symbol | Line 10b - Column (b) Book Value | Line 10b - Column (c) Fair Market Value |
|---|---|---|---|
| 248 | AGILENT TECHNOLOGIES INC (A) | $7,380 48 | $7.705 36 |
| 211 | APPLE INC (AAPL) | $40,917 66 | $44,464 45 |
| 224 | ABBOTT LABS (ABT) | $12,031 04 | $12,093 76 |
| 137 | ALCON INC (ACL) | $21,929 59 | $22.515 95 |
| 85 | AFFILIATED COMPUTER SERVICES (ACS) | $4 365 60 | $5,073 65 |
| 536 | ADOBE SYSTEMS. INC (ADBE) | $20.672 40 | $19,714 08 |
| 376 | ANALOG DEVICES INC (ADI) | $11,546 96 | $11.874 08 |
| 115 | AUTODESK, INC (ADSK) | $4,378 05 | $2,922 15 |
| 562 | AMERICAN ELECTRIC POWER INC (AEP) | $18 770 55 | $19,551 98 |
| 185 | ASTORIA FINL CORP COM (AF) | $5,067 15 | $2,299 55 |
| 437 | ADECCO S A UNSP/ADR (AHEXY PK) | $10 132 30 | $12,083 05 |
| 1041 | KONINKLIJKE AHOLD (AHONY PK) | $14,296 82 | $13.793 25 |
| 201 | AMCOR LTD (AMCRY PK) | $4,395 31 | $4,452 15 |
| 1183 | ADVANCED MICRO DEVICES INC (AMD) | $10,764 12 | $11,451 44 |
| 208 | AMGEN INC (AMGN) | $12 965 04 | $11,766 56 |
| 406 | AMERIPRISE FINANCIAL INC (AMP) | $15 627 91 | $15.760 92 |
| 682 | AMERICAN TOWER CORP CL A (AMT) | $27.850 21 | $29,469 22 |
| 358 | AMAZON COM (AMZN) | $45.802 52 | $48.158 16 |
| 440 | AUSTRALIA & N Z ADS (ANZBY PK) | $3,880 80 | $9,020 00 |
| 634 | AEON CO LTD ADR OTC (AONNY PK) | $6 181 74 | $5,167 10 |
| 90 | APACHE CORPORATION (APA) | $9.401 41 | $9,285 30 |
| 110 | ALLEGHENY TECH NEW (ATI) | $5.266 88 | $4,924 70 |
| 776 | AU OPTRONICS CORP (AUO) | $4.243 97 | $9.304 24 |
| 342 | AMERICAN EXPRESS CO (AXP) | $14 179 94 | $13,857 84 |
| 1631 | ALLIANZ AKTIENGESELL (AZ) | $27.638 61 | $20.305 95 |
| 304 | ASTRAZENECA (AZN) | $12,353 02 | $14,269 76 |
| 605 | BANK OF AMERICA CORP (BAC) | $9 370 62 | $9 111 30 |
| 555 | BAYERISCHE MOTOREN WERKE (BAMXY PK) | $9.090 62 | $8 430 45 |

**JMP Foundation Inc.**
**EIN: 20-3462159**
**Taxable Year Ending December 31, 2009**

## Form 990-PF, Part II, Line 10b - Columns (b) & (c) - Investments: Corporate Stock

| Shares | Description/Symbol | Line 10b - Column (b) Book Value | Line 10b - Column (c) Fair Market Value |
|---|---|---|---|
| 235 | BASF AG SPONS ADR (BASFY PK) | $11,757 41 | $14.593 50 |
| 320 | BAXTER INTERNATIONAL INC. (BAX) | $18 665 18 | $18,777 60 |
| 157 | BAYER A G SPONSORED ADR (BAYRY PK) | $8 179 37 | $12,528 60 |
| 539 | BANCO BRADESCO S A SPONS ADR NEW (BBD) | $6,203 94 | $11,787 93 |
| 77 | BHP BILLITON SP ADR (BBL) | $1,824 64 | $4,916 45 |
| 55 | BARD C R INC (BCR) | $4,316 40 | $4,284 50 |
| 569 | BARCLAYS PLC ADR (BCS) | $11,566 72 | $10 014 40 |
| 120 | BECKMAN COULTER INC (BEC) | $7,836 00 | $7,852 80 |
| 25 | BAIDU COM - ADR (BIDU) | $10,442 50 | $10 280 75 |
| 457 | BNP PARIBAS SPONS ADR (BNPQY PK) | $22,918 55 | $18 353 12 |
| 365 | BP P L C SPONSORED ADR (BP) | $16,282 62 | $21,159 05 |
| 231 | BT GROUP PLC ADS (BT) | $4,020 31 | $5 021 94 |
| 110 | BORG WARNER INC (BWA) | $3 901 37 | $3,654 20 |
| 60 | BOSTON PPTYS INC (BXP) | $7 119 00 | $4 024 20 |
| 606 | CELESIO AG UNSP/ADR (CAKFY PK) | $2,605 50 | $3,030 00 |
| 328 | CHUBB CORP (CB) | $16,682 64 | $16 131 04 |
| 388 | COOPER INDUSTRIES PLC (CBE) | $16,301 39 | $16 544 32 |
| 295 | CELGENE CORP (CELG) | $17,301 89 | $16,425 60 |
| 45 | CEPHALON, INC (CEPH) | $3,006 00 | $2,808 90 |
| 165 | CHESAPEAKE ENERGY CORPORATION (CHK) | $5,151 00 | $4 270 20 |
| 84 | COLGATE-PALMOLIVE COMPANY (CL) | $6,381 45 | $6 900 60 |
| 298 | CUMMINS INC (CMI) | $11,497 36 | $13,666 28 |
| 211 | COACH INC (COH) | $7 720 49 | $7,707 83 |
| 228 | COSTCO WHOLESALE CORP NEW (COST) | $13,318 96 | $13,490 76 |
| 375 | COVIDIEN LTD (COV) | $17,822 96 | $17,958 75 |
| 1386 | CREDIT AGRICOLE SA (CRARY PK) | $8,259 31 | $12 266 10 |
| 89 | CREE, INC (CREE) | $4,630 09 | $5,016 93 |
| 203 | SALESFORCE COM (CRM) | $13,302 59 | $14,975 31 |
| 1297 | CISCO SYSTEMS INC (CSCO) | $30,204 43 | $31,050 18 |
| 115 | CSX CORP (CSX) | $4,324 00 | $5.576 35 |

## Form 990-PF, Part II, Line 10b - Columns (b) & (c) - Investments: Corporate Stock

| Shares | Description/Symbol | Line 10b - Column (b) Book Value | Line 10b - Column (c) Fair Market Value |
|---|---|---|---|
| 105 | COVANCE INC (CVD) | $6,312 60 | $5,729 85 |
| 222 | DEUTSCHE BANK AG (DB) | $7,967 97 | $15 742 02 |
| 251 | DOLLAR GENERAL CORP (DG) | $5,669 41 | $5,629 93 |
| 335 | D R HORTON (DHI) | $7,582 65 | $3,641 45 |
| 603 | WALT DISNEY HOLDINGS CO (DIS) | $20,058 57 | $19,446 75 |
| 979 | DANSKE BK A/S SPONS ADR (DNSKY PK) | $12,388 27 | $11,062 70 |
| 586 | DEUTSCHE POST AG (DPSGY PK) | $7,326 30 | $11,368 40 |
| 125 | DARDEN RESTAURANTS INC (DRI) | $4 995.00 | $4,383 75 |
| 854 | DEUTSCHE TELE AG ADS (DT) | $12 348 79 | $12 553 80 |
| 194 | ENI S P A (E) | $11 717 11 | $9,818 34 |
| 202 | BRINKER INTL INC (EAT) | $5 116 78 | $3,013 84 |
| 595 | EBAY INC (EBAY) | $12 771 79 | $14,000 35 |
| 811 | ELECTRICITE FR UNSP/ADR (ECIFY PK) | $8,591 90 | $9 586 02 |
| 723 | EAST JAPAN RAILWAY C (EJPRY PK) | $7,259 26 | $7,627 65 |
| 182 | A B ELECTRLX S ADR# (ELUXY PK) | $4,777 84 | $8 508 50 |
| 1016 | EMC CORP-MASS (EMC) | $17 384 37 | $17 749 52 |
| 80 | EASTMAN CHEMICAL CO (EMN) | $4,866 40 | $4,819 20 |
| 1462 | ENEL SOCIETA PER AZI (ENLAY PK) | $8,099 92 | $8,552 70 |
| 459 | E ON AG SPON ADR REP 1/3 ORD NPV (EONGY PK) | $19,596 82 | $19,163 25 |
| 618 | ERICSSON L M TEL CO (ERIC) | $4 310 06 | $5,679 42 |
| 440 | ESPRIT HLDGS LTDSPONSORED ADR (ESPGY PK) | $6,216 76 | $5 874 00 |
| 130 | EXPRESS SCRIPTS INC (ESRX) | $5,286 45 | $11 234 60 |
| 160 | EATON VANCE CORP COM (EV) | $5 531 20 | $4 865 60 |
| 128 | FREEPORT-MCMORAN COPPER & GOLD INC (FCX) | $4 846 06 | $10,277 12 |
| 42 | FEDEX CORPORATION COMMON STOCK (FDX) | $3,594 26 | $3,504 90 |
| 605 | FLEXTRONICS INTERNATIONAL (FLEX) | $4,441 40 | $4,422 55 |
| 594 | FRANCE TELECOM ADS (FTE) | $15,301 31 | $14,992 56 |
| 432 | GILEAD SCIENCES INC (GILD) | $18,800 21 | $18,692 64 |
| 372 | GENERAL MILLS INC (GIS) | $25,479 48 | $26,341 32 |
| 120 | G A T X CP (GMT) | $5 616 00 | $3 450 00 |

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| Shares | Description/Symbol | Line 10b - Column (b) Book Value | Line 10b - Column (c) Fair Market Value |
|---|---|---|---|
| 82 | GOOGLE INC CL A (GOOG) | $48,889 22 | $50,838 36 |
| 105 | GLOBAL PAYMENTS INC (GPN) | $3 863 73 | $5 655 30 |
| 184 | GOLDMAN SACHS GROUP (GS) | $29 556 29 | $31,066 56 |
| 388 | GLAXOSMITHKLINE PLC (GSK) | $18,545 18 | $16,393 00 |
| 260 | HELIX ENERGY SOLUTIONS GROUP INC (HLX) | $7,305 86 | $3,055 00 |
| 545 | HEWLETT PACKARD CO (HPQ) | $27,664 20 | $28,072 95 |
| 140 | HARRIS CORP DEL (HRS) | $6 758 70 | $6,657 00 |
| 130 | HARSCO CORP (HSC) | $5.630 95 | $4.189 90 |
| 170 | INTERNATIONAL BUSINESS MACHINES (IBM) | $21 481 78 | $22 253 00 |
| 55 | INTERCNTNTLEXCHANGE (ICE) | $3 235 86 | $6,176 50 |
| 230 | INTERNATIONAL GAME TECHNOLOGY (IGT) | $7 663 30 | $4,317 10 |
| 1504 | INTEL CORP (INTC) | $29,588 69 | $30,681 60 |
| 131 | INTERNATIONAL PAPER CO (IP) | $3,434 52 | $3,508 18 |
| 205 | INTERNATIONAL RECTIFIER CORP (IRF) | $6,591 68 | $4 534 60 |
| 346 | ISRAEL CHEMICALS UNSPON ADR (ISCHY PK) | $4 204 95 | $4,636 40 |
| 9849 | ISHARES S&P 500 INDEX FD (IVV) | $1,091,637.55 | $1 101 216 69 |
| 308 | ORIX CORP ADS (IX) | $10.382 33 | $10 521 28 |
| 249 | JOHNSON CONTROLS INC (JCI) | $6 409 98 | $6 782 76 |
| 175 | JEFFERIES GROUP INC (JEF) | $4,410 00 | $4,152 75 |
| 339 | JOHNSON & JOHNSON (JNJ) | $21,085 80 | $21,834 99 |
| 336 | JUNIPER NETWORKS (JNPR) | $8,855 02 | $8.961 12 |
| 475 | JP MORGAN CHASE & CO (JPM) | $19,159.06 | $19 793 25 |
| 248 | KOOKMIN BK ADS NEW (KB) | $16 896 20 | $12 610 80 |
| 460 | KEYCORP (KEY) | $2,185 00 | $2,553 00 |
| 140 | COCA-COLA CO (KO) | $7,715 62 | $7,980 00 |
| 208 | KOHLS CORP (KSS) | $11,082 24 | $11,217 44 |
| 530 | LENOVO GROUP LTD ADR (LNVGY PK) | $2,925 60 | $6,545 50 |
| 208 | LUKOIL HOLDING CO SP/ADR (LUKOY PK) | $11,615 45 | $11,731 20 |
| 105 | MASTERCARD INC (MA) | $26 200 82 | $26.877 90 |
| 466 | MARKS & SPENCER GRP ADR (MAKSY PK) | $6 141 88 | $6,058 00 |

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## Form 990-PF, Part II, Line 10b - Columns (b) & (c) - Investments: Corporate Stock

| Shares | Description/Symbol | Line 10b - Column (b) Book Value | Line 10b - Column (c) Fair Market Value |
|---|---|---|---|
| 399 | MARRIOTT INTERNATIONAL INC CL A (MAR) | $11.164 02 | $10,872 75 |
| 290 | MASCO CORP (MAS) | $6 292 19 | $4 004 90 |
| 285 | MATTELL INC (MAT) | $5 714 79 | $5,694 30 |
| 324 | METLIFE INC (MET) | $11,401 30 | $11,453 40 |
| 453 | MEDCO HEALTH SOLUTIONS INC (MHS) | $28,627 01 | $28,951 23 |
| 23 | MITSUI & COMPANY, LTD - ADR (MITSY) | $6,626 67 | $6,570 18 |
| 79 | MONSANTO CO (MON) | $6 406 70 | $6,458 25 |
| 126 | MACQUARIE GROUP LTD S/ADR (MQBKY PK) | $3,710 40 | $5,481 00 |
| 398 | MERCK & CO INC (MRK) | $14,928 70 | $14 542 92 |
| 98 | MITSUBISHI CORP SPON (MSBHY PK) | $2,831 22 | $4,876 48 |
| 1379 | MICROSOFT CORPORATION (MSFT) | $40,895 40 | $42,031 92 |
| 985 | MUENCHENER RUECKVERS (MURGY PK) | $14,325 85 | $15,267 50 |
| 337 | MYLAN INC (MYL) | $6,257 52 | $6,210 91 |
| 411 | NATIONAL AUSTRALIA BK LTD (NABZY PK) | $4 694 98 | $10,036 62 |
| 987 | NEW WORLD DEV LTD S/ADR (NDVLY PK) | $4,342 80 | $3,948 00 |
| 180 | NEWFIELD EXPLORATION CO (NFX) | $8,565 45 | $8 681 40 |
| 430 | JSC MMC NRLSK NICKL S/ADR (NILSY PK) | $12,610 01 | $6,170 50 |
| 255 | NIKE INC-CL B (NKE) | $16,390 81 | $16,847 85 |
| 1402 | NOKIA (NOK) | $24,451 39 | $18 015 70 |
| 980 | NISSAN MOTOR LTD ASR (NSANY PK) | $19,148 38 | $17 277 40 |
| 549 | NETAPP. INC (NTAP) | $18,341 54 | $18 863 64 |
| 90 | NORTHERN TRUST CORPORATION (NTRS) | $5,769 13 | $4 716 00 |
| 742 | NIPPON TELEPHONE ADR (NTT) | $17 522 00 | $14 647 08 |
| 310 | NOVARTIS AG ADR (NVS) | $15 668 77 | $16,873 30 |
| 371 | NEXEN INC (NXY) | $8,614 17 | $8,878 03 |
| 433 | TELECOM CORP NEW ZEALAND LTD (NZT) | $3,332 80 | $3,892 67 |
| 290 | OLD MUTUAL PLC UNSP/ADR (ODMTY PK) | $4,149 87 | $4 132 50 |
| 165 | OAO GAZPROM SPONS GDR (OGZPY PK) | $4,039 20 | $4 133 25 |
| 95 | ONEOK INC (OKE) | $4 803 32 | $4 234 15 |
| 227 | OCCIDENTAL PETE CORP (OXY) | $17 937 54 | $18 466 45 |

## Form 990-PF, Part II, Line 10b - Columns (b) & (c) - Investments: Corporate Stock

| Shares | Description/Symbol | Line 10b - Column (b) Book Value | Line 10b - Column (c) Fair Market Value |
|---|---|---|---|
| 62 | PRECISION CASTPARTS (PCP) | $6,922 92 | $6,841 70 |
| 198 | PEPSICO INC (PEP) | $13 649 42 | $12 038 40 |
| 1947 | PFIZER INC (PFE) | $39,730 00 | $35 415 93 |
| 113 | PROCTER GAMBLE CO (PG) | $7.035 37 | $6,851 19 |
| 294 | PROGRESSIVE CORP OHIO (PGR) | $4,960 46 | $5,289 06 |
| 426 | PULTE GROUP INC (PHM) | $7,448 75 | $4,260 00 |
| 115 | PIONEER NAT RES CO (PXD) | $4,476 95 | $5,539 55 |
| 1276 | QUALCOMM INC (QCOM) | $57,034 06 | $59 027 76 |
| 408 | ROYAL DUTCH SHELL PLC (RDS-A) | $31 322 51 | $24 524 88 |
| 368 | ROYAL DSM NV S/ADR (RDSMY PK) | $4 160 50 | $4 581 60 |
| 90 | REINSURANCE GROUP AMER INC (RGA) | $5 794 57 | $4,288 50 |
| 170 | RAYMOND JAMES FINANCIAL INC (RJF) | $4,904 50 | $4,040 90 |
| 87 | ROCKWELL AUTOMAT INC (ROK) | $3,846 96 | $4,087 26 |
| 20 | RIO TINTO PLC SPONSORED ADR (RTP) | $4,168 21 | $4,307 80 |
| 127 | RWE AKTIENGESELLSCHAF (RWEOY PK) | $10,640 67 | $12 306 30 |
| 246 | ROLLS ROYCE GRP PLC S/ADR (RYCEY PK) | $8 792 67 | $9 596 46 |
| 17637 | ROYCE FD OPPORTUNITY FD* (RYPNX) | $230,407 26 | $159 258 10 |
| 299 | STANDARD BANK GP UNSP/ADR (SBGOY PK) | $8,156 82 | $8 303 23 |
| 1074 | SOCIETE GENERALE FRANCE (SCGLY PK) | $14,677 94 | $15 089 70 |
| 994 | CHARLES SCHWAB CORP NEW (SCHW) | $18 190 82 | $18 707 08 |
| 150 | SCIENTIFIC GAMES CORP - CLASS A COMMON STOCK (SGMS) | $4,800 00 | $2,182 50 |
| 925 | SHARP CORP ADR (SHCAY PK) | $17,338 11 | $11,719 75 |
| 172 | SHIRE PHARMACEUTICALS, INC (SHPGY PK) | $9,877 96 | $10 096 40 |
| 261 | SCHLUMBERGER LTD (SLB) | $17,045 68 | $16,988 49 |
| 3564 | SUMITOMO MITSUI FINCL GRP (SMFJY PK) | $25,370 57 | $10,157 40 |
| 105 | SCOTTS CO CLASS A (SMG) | $4,352 25 | $4 127 55 |
| 75 | SNAP ON INC (SNA) | $2,743 43 | $3,169 50 |
| 229 | SONY CORP ADR (SNE) | $4,471 41 | $6,641 00 |
| 471 | SANOFI-AVENTIS SPONSORED ADR (SNY) | $19,619 09 | $18,496 17 |
| 503 | SILICONWARE PRECISION INDUSTRIES COMPANY, LTD - A (SPIL) | $3 187.91 | $3.526 03 |

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## Form 990-PF, Part II, Line 10b - Columns (b) & (c) - Investments: Corporate Stock

| Shares | Description/Symbol | Line 10b - Column (b) Book Value | Line 10b - Column (c) Fair Market Value |
|---|---|---|---|
| 1047 | BANCO SANTANDER CEN (STD) | $13,339 00 | $17,212 68 |
| 670 | STATOIL ASA ADS (STO) | $19 437 31 | $16 689 70 |
| 293 | SUNCOR ENERGY INC (SU) | $8 774 86 | $10 345 83 |
| 242 | SOUTHWESTERN ENERGY (SWN) | $11,148 94 | $11,664 40 |
| 848 | AT&T CORP COM NEW (T) | $22,968 01 | $23,769 44 |
| 129 | TELEFONICA S A ADR (TEF) | $7,296 23 | $10,774 08 |
| 85 | INTEGRYS ENERGY GROUP (TEG) | $4,570 45 | $3,569 15 |
| 347 | TEVA PHARMECEUTICAL SP ADR (TEVA) | $18,248 73 | $19 494 46 |
| 239 | TARGET CORPORATION (TGT) | $11,435 94 | $11 560 43 |
| 803 | TELECOM ITALIA ADR (TI) | $10,694 70 | $12 390 29 |
| 147 | TIFFANY & CO. (TIF) | $6,248 97 | $6 321 00 |
| 160 | TJX COMPANIES INC (TJX) | $4,267 20 | $5,848 00 |
| 261 | TELSTRA CORPORATION (TLSYY PK) | $3,578 31 | $3,993 30 |
| 159 | TELUS CORP (TU) | $4,111 26 | $4,952 85 |
| 594 | UNILEVER PLC AMER (UL) | $18 498 40 | $18 948 60 |
| 2341 | UMC ELECTRONICS CO COM (UMC) | $8 512 68 | $9 083 08 |
| 156 | UNION PACIFIC (UNP) | $9,941 88 | $9 968 40 |
| 100 | URS CORP NEW (URS) | $3,259 53 | $4,452 00 |
| 131 | UNITED TECHNOLOGIES CORP (UTX) | $9,139 86 | $9 092 71 |
| 325 | VISA INC (V) | $28,720 25 | $28 424 50 |
| 187 | VALSPAR CORP (VAL) | $4,770 03 | $5,075 18 |
| 527 | VIVENDI SA S/ADR (VIVDY PK) | $15 369 00 | $15 678 25 |
| 249 | VMWARE INC (VMW) | $10 900 05 | $10 552 62 |
| 1091 | VODAFONE GROUP PLC (VOD) | $26,917 24 | $25 191 19 |
| 513 | VOLVO AB ADR B (VOLVY PK) | $5,247 22 | $4 339 98 |
| 207 | VERTEX PHARMCTLS INC (VRTX) | $8,532 54 | $8 869 95 |
| 1041 | WELLS FARGO & CO (WFC) | $28,648 35 | $28 096 59 |
| 174 | WEATHERFORD INTL NEW (WFT) | $3,540 83 | $3 116 34 |
| 111 | WAL-MART STORES INC (WMT) | $6,514 30 | $5 932 95 |
| 4566 | WOLSELEY PLC (WOSLY PK) | $9 667 13 | $9 497 28 |

**JMP Foundation Inc.**
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## Form 990-PF, Part II, Line 10b - Columns (b) & (c) - Investments: Corporate Stock

| Shares | Description/Symbol | | Line 10b - Column (b) Book Value | Line 10b - Column (c) Fair Market Value |
|---|---|---|---|---|
| 255 | WPP GROUP PLC (WPPGY PK) | | $10,607 73 | $12 405 75 |
| 2313 | XSTRATA PLC UNSP/ADR (XSRAY PK) | | $7,552 51 | $8.442 45 |
| 156 | XTO ENERGY INC (XTO) | | $6,420 96 | $7,258 68 |
| 213 | YUE YUEN INDUSTRIAL (YUEIY PK) | | $3,131 33 | $3,109 80 |
| 175 | YUM BRANDS INC (YUM) | | $5,067 25 | $6,119 75 |
| | | **TOTAL** | **$3,781,188** | **$3,742,432** |

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## Form 990-PF, Part II, Line 10c - Columns (b) & (c) - Investments: Corporate Bonds

| Shares | Description/Symbol/CUSIP Number | Line 10c - Column (b) Book Value | Line 10c - Column (c) Fair Market Value |
|---|---|---|---|
| 5000 | AMB PPTY L P NOTE 06 62500% 12/01/2019 (00163MAK0) | $4,973 50 | $4,906 40 |
| 5000 | ALLSTATE CORP SR NT 6 20000% 05/16/2014 (020002AW1) | $4,992 95 | $5,564 05 |
| 5000 | ATLANTIC CITY ELEC CO 7 75000% 11/15/2018 (048303CD1) | $4,977 05 | $5,900 50 |
| 15000 | AVON PRODUCTS INC BONDS 4 8% 3/1/13 (054303AT9) | $14,978 25 | $15,781 95 |
| 5000 | AVON PRODUCTS INC NOTES 05.62500% 03/01/2014 (054303AV4) | $4,972 75 | $5,481 20 |
| 20000 | BB&T CORP - 5 2000% - 12/23/2015 (054937AE7) | $18,892.55 | $20,837 20 |
| 25000 | BANK OF AMERICA CC TR 2007-A8 CL A8 5 59$ 11/17/14 (05522RBD9) | $24,990 64 | $26,726 75 |
| 10000 | BANK AMER FDG CORP SR NT 4 90000% 05/01/2013 (06051GDW6) | $9,652 00 | $10,362 70 |
| 5000 | BANK AMER FDG CORP SR NT-L 7 62500% 06/01/2019 (06051GDZ9) | $4,962 20 | $5,784 75 |
| 5000 | BANK AMER FDG CORP SR NT 6 50% 08/01/2016 (06051GEA3) | $4,987 45 | $5,390 15 |
| 15000 | BELLSOUTH CAP FDG CORP DEB 7 875% 02/15/2030 (079857AH1) | $15,578 70 | $17,046 60 |
| 5000 | BEMIS COMPANY INC (081437AG0) | $5,229 70 | $5,333 95 |
| 10000 | BURLINGTON NORTH S FNOTE 05 75000% 03/15/2018 (12189TBA1) | $9,976 70 | $10,715 50 |
| 5000 | BURLINGTON NORTHN SANTA FE CP 7 00000% 02/01/2014 (12189TBB9) | $4,999 15 | $5,702 20 |
| 10000 | CITIGROUP DEUTSCHE 2007-CD4 CLA2B 5 205% 12/11/49 (12513YAC4) | $9,849 22 | $10,024 60 |
| 4447 | CNH EQUIPMENT TRUST SER 2009-A CLASS A3 5 28% 11/15/12 (12616RAC5) | $4,999 68 | $5,229 70 |
| 3108 | CNH EQUIPMENT TRUST SER 2007-B CL A3A 5 4% 10/17/11 (12619NAD9) | $2,554 41 | $2,571 51 |
| 5000 | CAPITAL ONE BK MTN BE 6 50000% 06/13/2013 (14040EHG0) | $3,762 50 | $5 359 85 |
| 10000 | CARMAX AUTOOWNERTRUST 2009-1 A3 4 12% DUE 03-15-13 (14312WAD5) | $9,999 17 | $10 351 50 |
| 20000 | CATERPILLAR FINL ASSET TR 2008-A A3 4 94% 4/25/14 (14911TAC9) | $19,999 62 | $20 468 60 |
| 15000 | COMMERCIAL MTG SER 2007-C9 CL A2 05 811% 07/10/12 (20047RAB9) | $14,681 25 | $15,085 50 |
| 5000 | CONOCOPHILLIPS NOTES 05 75000% 02/01/2019 (20825CAR5) | $4,966 30 | $5,485 65 |
| 5000 | CONS EDISON CO OF NY 05 55000% 04/01/2014 (209111EW9) | $4,996 05 | $5,407 35 |
| 5000 | DOMINIONRESOURCES INC 06 40000% 06/15/2018 (25746UBE8) | $4,995 30 | $5 499 85 |
| 5000 | DOMINION RESOURCES NOTES SER D 08 87500% 1/15/2019 (25746UBG3) | $4,998 60 | $6,193 05 |
| 10000 | EI DU PONT DE NEMOUR NOTES 4 75% 3/15/15 (263534BX6) | $9,971 40 | $10,674 40 |
| 10000 | DUKE ENERGY CAROLINAS 05 30000% 02/15/2040 (26442CAH7) | $9,957 30 | $9 653 80 |
| 20000 | ESTEE LAUDER COS 6% 5/15/37 (29736RAC4) | $18,851 40 | $19,384 00 |
| 25000 | EXELON GENERATION CO LLC NOTES 6 200% 10/01/2017 (30161MAE3) | $25,229 00 | $26,759 00 |

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| Shares | Description/Symbol/CUSIP Number | Line 10c - Column (b) Book Value | Line 10c - Column (c) Fair Market Value |
|---|---|---|---|
| 10000 | FPL GROUP CAP INC GTD NT 7 87500% 12/15/2015 (302570BC9) | $10,000 00 | $12,052 00 |
| 19264 | FIRST UNION NAT BK SER 2002-C1 6 141 2/12/34 (33736XFT1) | $18,625 62 | $20,210 67 |
| 15000 | GE CAPITAL 5 875% 1/14/38 (36962G3P7) | $14,789 85 | $13,915 05 |
| 5000 | GENERAL MILLS INC NOTES 05 25000% 08/15/2013 (370334BG8) | $4,989 20 | $5,402 50 |
| 10000 | GOVERNMENT NATIONAL MORTGAGE A 2008 22 B 4 500% D (38373MU24) | $9,659 77 | $10,306 60 |
| 15000 | GNMA 2008-48 D 5 243% 10/16/39 (38373MY46) | $14,490 42 | $15,656 70 |
| 5000 | GREENPOINT BK BKLYN NY MTN BE 9 25000% 10/01/2010 (39538FAA3) | $4,850 00 | $5,128 40 |
| 30000 | GREENWICH CAPITAL COMMERCIAL F 2004/GG1 A6 5.135% (396789FS3) | $29,635 55 | $29,084 70 |
| 4140 | HARLEY DAVIDSON SER 2007-2 CL A3 05 10% 05/15/2012 (41283VAC7) | $4,038 33 | $4,179 05 |
| 10000 | HARTFORD FINL SVC GRP - 6 300% - 03/15/2018 (416515AU8) | $9,999 70 | $9,919 00 |
| 5000 | HASBRO INC NOTE 06 12500% 05/15/2014 (418056AR8) | $4,996 55 | $5,455 45 |
| 10000 | HONDA AUTO RECEIVABLES OWNER T 2009-2 A3 2 790% DU (43812UAC5) | $9,999 67 | $10,181 60 |
| 5000 | HYUNDAI AUTO REC TRUST 2008 A A3 4 930% 12/17/12 (44920XAD4) | $4,999 19 | $5,220 40 |
| 15000 | INGERSOLL-RAND GLOBAL HLDG CO 6 00000% 08/15/2013 (45687AAB8) | $14,993 55 | $16,163 10 |
| 10000 | JP MORGAN CHASE 6 125% 6/27/17 (46625HGN4) | $9,843 90 | $10,543 30 |
| 10000 | JPMORGAN CHASE & CO SR NT 4 65000% 06/01/2014 (46625HHN3) | $9,979 40 | $10,555 40 |
| 5000 | JP MORGAN CHASE CAP XV NTS 5 875% 03/15/2035 (46627NAA3) | $4,461 05 | $4,426 15 |
| 8592 | JOHN DEERE OWNER TRUST 2008-A A3 4 180% 06-15-12 (477878AC6) | $8,591 07 | $8,702 52 |
| 40000 | KELLOGG CO NT-B 6 600% 04/01/2011 (487836AS7) | $41,645 45 | $42,770 00 |
| 10000 | KELLOGG CO NOTES 4 25% 3/6/13 (487836BA5) | $9,981 30 | $10,572 60 |
| 5000 | KOHLS CORP NT 6 87500% 12/15/2037 (500255AQ7) | $3,328 35 | $5,674 25 |
| 15000 | KROGER CO SR NTS 6 4% 8/15/17 (501044CG4) | $15,551 10 | $16,426 80 |
| 15000 | KROGER 6 15% 1/15/20 (501044CH2) | $15,020 75 | $16,057 50 |
| 5000 | LOCKHEED MARTIN CORPNOTE 05 50000% 11/15/2039 (539830AU3) | $4,958 65 | $4 938 05 |
| 10000 | LORAL CORP SR DEB 7 00000% 09/15/2023 (543859AH5) | $9,902 10 | $11 256 70 |
| 25000 | MARTIN MARIETTA MATLS INC 6 250% 05/01/2037 (573284AJ5) | $15,485 65 | $22 215 50 |
| 10000 | METLIFE INC NOTES SER A 06 81700% 08/15/2018 (59156RAR9) | $10,035 00 | $11 126 90 |
| 5000 | MORGAN STANLEY - 4 750% - 04/01/2014 (61748AAE6) | $4,371 05 | $5 031 30 |
| 35000 | MORGAN STANLEY CAP 5 359% 2/12/44 (61751NAC6) | $35,565 43 | $33,003 60 |
| 10000 | NATIONAL FUEL GAS CONOTES 08 75000% 05/01/2019 (636180BJ9) | $9,976 20 | $11 600 80 |

**JMP Foundation Inc.**
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## Form 990-PF, Part II, Line 10c - Columns (b) & (c) - Investments: Corporate Bonds

| Shares | Description/Symbol/CUSIP Number | Line 10c - Column (b) Book Value | Line 10c - Column (c) Fair Market Value |
|---|---|---|---|
| 10000 | NEWS AMER HLDGS INC SR DEB 9 25000% 02/01/2013 (652478AH1) | $10,181 10 | $11,620 70 |
| 10000 | NEWS AMERICA HLDGS DEB 8 45% 8/1/2034 (652478AW8) | $9,544 70 | $11,707 80 |
| 35000 | NORDSTROM INC BOND 06 25000% 01/15/2018 (655664AK6) | $35,179 20 | $38,014 20 |
| 15000 | NORTHERN TRUST CO SR NOTES 5 2% 11/9/12 (665859AH7) | $14,971 35 | $16,264 35 |
| 5000 | NORTHROP GRUMMAN 5 05% 8/1/19 (666807BA9) | $4,991 85 | $5,099 85 |
| 21272 | PSE&G TRANSITION FUNDING LLC 6 45% 3/152013 (69361YAE3) | $21,949 02 | $22,097 16 |
| 5000 | PACIFICORP 1ST MORTGAGE 05 50000% 01/15/2019 (695114CK2) | $4,967 25 | $5,353 30 |
| 10000 | PRAXAIR INC NOTES 04 37500% 03/31/2014 (74005PAS3) | $9,968 40 | $10,548 90 |
| 5000 | PROGRESS ENERGY INC MAKE WHOLE 04 87500% 12/01/201 (743263AQ8) | $4,990 45 | $4,898 95 |
| 5000 | SAFEWAY INC 6 25$ 3/15/14 (786514BQ1) | $4,976.90 | $5,463 30 |
| 8144 | SALOMON BROS MTGSER 2000-C3 CL A2 6 592% 10/18/10 (79548CAB2) | $7,959 24 | $8,282 99 |
| 25000 | SEARIVER MARITIME FINL HLDG GTD DEFD INT 9/1/12 (812293AB4) | $19,629 90 | $23,269 75 |
| 10000 | STANLEY WORKS NOTE 06 15000% 10/01/2013MAKE WHOLE (854616AN9) | $9,980 40 | $10,834 50 |
| 20000 | TIME WARNER COS INC 9 125% 1/15/13 (887315AK5) | $22,913 00 | $23,251 20 |
| 10000 | USAA AUTOOWNER TR SER 2009-1 CL A3 3 02% 06/17/13 (90327XAC8) | $9,998 11 | $10,217 80 |
| 5000 | US BANK TR NAT - 4 8000% - 04/15/2015 (90333WAC2) | $4,465 80 | $5,238 15 |
| 15000 | UNION PACIFIC CORP NOTE 07 87500% 01/15/2019MAKE W (907818DB1) | $14,972.55 | $18 056 70 |
| 5000 | UNITED PARCEL SERVICE 03 87500% 04/01/2014 (911312AL0) | $4,988 90 | $5,206 20 |
| 10000 | UNITED TECHNOLOGIES CORP 06 12500% 07/15/2038MAKE (913017BP3) | $9,970 70 | $10,765 30 |
| 15000 | VERIZON COMM BONDS 5 5% 2/15/18 (92343VAL8) | $15,038 85 | $15 608 70 |
| 10000 | VOLKSWAGEN AUTO LOAN ENH 2008-1 A3 4 5% 07/20/12 (92867BAD6) | $9,999 50 | $10,199 60 |
| 13594 | WACHOVIA BK COMMTG TR SER 2002-C1 6 164% 4/15/34 (929766AC7) | $14,084 38 | $14,106 31 |
| 20000 | WACHOVIA BK - 4 748% - 02/15/2041 (929766NQ2) | $19,034 37 | $19,676 40 |
| 35000 | WACHOVIA BNK COMM MTG 2006-C28 A3 5 679% 10/15/48 (92978MAD8) | $26,958 98 | $30 483 95 |
| 20000 | WACHOVIA BANK COM MTG 2007 C31 A2 5 421% 04-15-47 (92978TAB7) | $18,753 71 | $19 392 80 |
| 10000 | WASHINGTON POST 7 25% 2/1/19 (939640AD0) | $9,961 40 | $10,983 60 |
| 10000 | WELLS FARGO CO MTN BE 3 75000% 10/01/2014 SR NT (94974BET3) | $9,983 70 | $9,984 90 |
| 5000 | WORLD OMNI AUTO RECTR 2009-A A3 3 330% 5-15-13 (98156YAD3) | $4,998 08 | $5,119 50 |
| | **TOTAL** | **$1,004,150** | **$1,073,206** |

**JMP Foundation Inc.**
**EIN: 20-3462159**
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## Form 990-PF, Part XV, Line 3a - Grants and Contributions Paid During the Year

| 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 R M S INC<br>64 HARDING RD, RED BANK, NJ 07701 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $10,000.00 |
| ADAM CONBOY MEMORIAL FUND<br>6210 RIDGE AVE PHILADELPHIA, PA 19128 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $10 000 00 |
| ADAM CONBOY MEMORIAL FUND<br>6210 RIDGE AVE, PHILADELPHIA, PA 19128 | N/A | 509(a)(1) | BEDDING FOR TROOPS FUND | $10,000 00 |
| AMERICAS GROW A ROW INC<br>150 PITTSTOWN RD, PITTSTOWN, NJ 08867 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $50 000 00 |
| BOYS & GIRLS CLUB OF MONMOUTH COUNTY<br>1201 MONROE AVE, ASBURY PARK, NJ 07712 | N/A | 509(a)(1) | PURCHASE OF A SECURITY SYSTEM ($7,000), OUTSIDE SIGNS ($3,000), SAFE ($1,000), PHONE SYTEM ($4,000), LAPTOPS ($9,600) AND COMPUTER CHAIRS ($2,400) | $27 000 00 |
| BUILDABRIDGE INTERNATIONAL<br>205 W TULPEHOCKEN ST, PHILA, PA 19144 | N/A | 509(a)(2) | TO SUPPORT NOVEMBER 2009 TRIP TO GUATEMALA | $1,000 00 |
| CATHOLIC CHARITIES APPEAL OF THE ARCHDIOCESE OF PHILADELPHIA<br>222 NORTH SEVENTEENTH STREET, PHILADELPHIA, PA 19103 | N/A | 509(a)(1) | FOSTER CARE FOR CHILDREN | $500 00 |

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|---|---|---|---|---|
| CFVI INC<br>PO BOX 11790, ST THOMAS, VI 00801 | N/A | 509(a)(1) | $10,000 FOR THE SCHOLARSHIP FUND AND $10,000 FOR THE HUMANE SOCIETY | $20,000 00 |
| CFVI INC<br>PO BOX 11790, ST THOMAS, VI 00801 | N/A | 509(a)(1) | JMP FUND | $15,000 00 |
| CFVI INC<br>PO BOX 11790, ST THOMAS, VI 00801 | N/A | 509(a)(1) | CANCER SUPPORT V I PROGRAM | $5,000 00 |
| CRIME STOPPERS USVI INC<br>P O BOX 1186, FREDERIKSTED, VI 00841 | N/A | 509(a)(2) | GENERAL & UNRESTRICTED | $5,000 00 |
| CYSTIC FIBROSIS FOUNDATION<br>6931 ARLINGTON ROAD, BETHESDA, MD 20814 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $10,000 00 |
| EDUCATIONAL BROADCASTING CORP<br>450 W 33RD STREET, NEW YORK, NY 10001 | N/A | 509(a)(1) | WNET THIRTEEN | $2,000 00 |
| FAMILY & CHILDRENS SERVICE INC OF MONMOUTH COUNTY<br>191 BATH AVENUE, LONG BRANCH, NJ 07740 | N/A | 509(a)(1) | OPERATION SLEIGHBELLS FUND | $5,000 00 |
| FLEMINGTON AREA FOOD PANTRY INC<br>110 BROAD STREET, FLEMINGTON, NJ 08822 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $10 000 00 |

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|---|---|---|---|---|
| FOODBANK OF MONMOUTH AND OCEAN COUNTIES INC<br>3300 ROUTE 66, NEPTUNE, NJ 07753 | N/A | 509(a)(2) | GENERAL & UNRESTRICTED | $10,000 00 |
| FRANCIS A DESMARES PARENT TEACHERS ORGANIZATION INC<br>16 OLD CLINTON RD, FLEMINGTON, NJ 08822 | N/A | 509(a)(1) | GROW-A-ROW FIELD TRIP PROGRAM (SPRING 2009 / FALL 2009) & STUDENT ENRICHMENT | $2,500.00 |
| GREATER FLEMINGTON SOCCER CLUB INC<br>6 WITZLING CT, FLEMINGTON, NJ 08822 | N/A | 509(a)(2) | BUILDING OF CLOVER HILL FIELD COMPLEX | $5,000 00 |
| HABCORE INC<br>PO BOX 2361, RED BANK, NJ 07701 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $10 000 00 |
| HUMANE SOCIETY OF ST THOMAS<br>7041 ESTATE NADIR 26, ST THOMAS, VI 00802 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $10,000 00 |
| INTERFAITH NEIGHBORS INC<br>810 4TH AVE ASBURY PARK, NJ 07712 | N/A | 509(a)(1) | MEALS ON WHEELS PROGRAM | $5,000 00 |
| INTERNATIONAL DYSLEXIA ASSOCIATION INC<br>PO BOX 32, LONG VALLEY, NJ 07853 | N/A | 509(a)(1) | FUNDRAISING AND AWARENESS CAMPAIGN | $2,000 00 |
| LAFAYETTE COLLEGE<br>202 MARKLE HALL, EASTON, PA 18042 | N/A | 509(a)(1) | JMP FOUNDATION SCHOLARSHIP FUND | $15,000.00 |

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|---|---|---|---|---|
| LONG BRANCH FIRE DEPT FUND DRIVE ASSN INC<br>133 BRANCHPORT AVE, LONG BRANCH, NJ 07740 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $5 000 00 |
| LUNCH BREAK<br>PO BOX 2215, RED BANK, NJ 07701 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $10,000 00 |
| MERIDIAN HEALTH SYSTEM INC<br>ONE RIVERVIEW PLAZA RED BANK NJ 07701 | N/A | 509(a)(3) | TO SUPPORT CLIENTS (ACTIVITIES AND SUPPLIES) OF THE MENTAL HEALTH DAY TREATMENT PROGRAM AT RIVERVIEW HOSPITAL | $5,000 00 |
| MISSIONARY SOCIETY SALESIAN SISTERS<br>655 BELMONT AVE, NORTH HALEDON, NJ 07508 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $10,000 00 |
| MISSIONARY SOCIETY SALESIAN SISTERS<br>655 BELMONT AVE, NORTH HALEDON, NJ 07508 | N/A | 509(a)(1) | DANIELA MARTE AND TRACITY PUSEY FUND | $13 800 00 |
| MISSIONARY SOCIETY SALESIAN SISTERS<br>655 BELMONT AVE, NORTH HALEDON, NJ 07508 | N/A | 509(a)(1) | MARY HELP EDUCATION FUND | $27,600 00 |
| MISSIONARY SOCIETY SALESIAN SISTERS<br>655 BELMONT AVE, NORTH HALEDON, NJ 07508 | N/A | 509(a)(1) | SUMMER CAMP PROGRAM | $5,000 00 |
| MONMOUTH COUNTY SOCIETY FOR THE PREVENTION OF CRUELTY TO ANIMALS<br>260 WALL ST, EATONTOWN, NJ 07724 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $23,000 00 |

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|---|---|---|---|---|
| MOVING PICTURES INSTITUTE<br>375 GREENWICH ST, NEW YORK, NY 10013 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $30,000 00 |
| NICHOLAS WOLFF FOUNDATION INC<br>PO BOX 810, MILLVILLE, PA 17846 | N/A | 509(a)(1) | PURCHASE TWO GOLF CARTS FOR THE CAMP | $12,000.00 |
| PEDALS FOR PROGRESS A NEW JERSEY NONPROFIT CORPORATION<br>86 E MAIN ST, HIGH BRIDGE, NJ 08829 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $2,000 00 |
| RONALD MCDONALD HOUSE OF LONG BRANCH NJ INC<br>131 BATH AVE, LONG BRANCH, NJ 07740 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $10 000 00 |
| ST JOSEPHS UNIVERSITY<br>5600 CITY AVE PHILADELPHIA, PA 19131 | N/A | 509(a)(1) | JMP SCHOLARSHIP FUND I | $30 000 00 |
| ST JOSEPHS UNIVERSITY<br>5600 CITY AVE, PHILADELPHIA, PA 19131 | N/A | 509(a)(1) | JMP SCHOLARSHIP FUND II | $15 000 00 |
| ST JAMES CHURCH<br>300 BROADWAY, LONG BRANCH, NJ 07740 | N/A | 509(a)(1) | CHARITABLE EVENT | $2,000 00 |

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## Form 990-PF, Part XV, Line 3a - Grants and Contributions Paid During the Year

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|---|---|---|---|---|
| TRI-COUNTY SCHOLARSHIP FUND<br>4 CENTURY DRIVE, PARSIPPANY, NJ 07054 | N/A | 509(a)(1) | CHARITABLE EVENT | $500 00 |
| TRI-COUNTY SCHOLARSHIP FUND<br>4 CENTURY DRIVE, PARSIPPANY, NJ 07054 | N/A | 509(a)(1) | EDUCATION SPONSORSHIP OF CRYSTAL ROMAN, SASHA ROMAN, AND SHAQUANNA MARSHALL | $19,000 00 |
| TRI-COUNTY SCHOLARSHIP FUND<br>4 CENTURY DRIVE PARSIPPANY NJ 07054 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $15,000 00 |
| TRINITY EPISCOPAL CHURCH<br>503 ASBURY AVENUE, ASBURY PARK, NJ 07712 | N/A | 509(a)(1) | SATURDAY SOUP ($5K) AND THE LAST RESORT FOOD PANTRY ($5K) PROGRAMS | $10,000 00 |
| VOLUNTEERS IN HEALTH INC<br>211 SHREWSBURY AVE, RED BANK, NJ 07701 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $10,000.00 |
| WAGNER COLLEGE<br>1 CAMPUS RD, STATEN ISLAND, NY 10301 | N/A | 509(a)(1) | GENERAL & UNRESTRICTED | $2,000 00 |
| WNET ORG<br>450 WEST 33RD STREET 7TH FLOOR, NEW YORK, NY 10001 | N/A | 509(a)(1) | WLIW DIVISION | $2,000 00 |

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|---|---|---|---|---|
| YOUTH SPEAK COLLECTIVE<br>11243 GLENOAKS BLVD STE 11, PACOIMA, CA 91331 | N/A | 509(a)(1) | TECHNOLOGY CENTER FOR THE PURCHASE OF COMPUTER AND/OR OTHER RELATED EQUIPMENT NEEDS | $5,000 00 |
| | | | **TOTAL.** | **$503,900** |