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Form **990-PF**Department of the Treasury
Internal Revenue Service (77)**Return of Private Foundation**
or Section 4947(a)(1) Nonexempt Charitable Trust
Treated as a Private Foundation

OMB No 1545-0052

2009

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

For calendar year 2009, or tax year beginning , and ending

G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return
☐ Amended return ☐ Address change ☐ Name change

Use the IRS label. Otherwise, print or type. See Specific Instructions.	Name of foundation The Alice I Sullivan Charitable Foundation		A Employer identification number 20-8256471
	Number and street (or P O box number if mail is not delivered to street address) Room/suite 162 Middle Street		B Telephone number (see page 10 of the instructions) 401-727-9000
	City or town, state, and ZIP code Pawtucket RI 02860		C If exemption application is pending, check here <input type="checkbox"/>
			D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization. <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation			
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 798,611		J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis)	
E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>			

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 page 11 of 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 (attach schedule)	427,986			
2	Check <input type="checkbox"/> if the foundation is not required to attach Sch. B				
3	Interest on savings and temporary cash investments	1,577	1,577		
4	Dividends and interest from securities	9,627	9,627		
5 a	Gross rents				
b	Net rental income or (loss)				
6 a	Net gain or (loss) from sale of assets not on line 10	-278,414			
b	Gross sales price for all assets on line 6a 790,211				
7	Capital gain net income (from Part IV, line 2)				
8	Net short-term capital gain				
9	Income modifications				
10 a	Gross sales less returns and allowances				
b	Less Cost of goods sold				
c	Gross profit or (loss) (attach schedule)				
11	Other income (attach schedule)				
12	Total. Add lines 1 through 11	160,776	11,204		
13	Compensation of officers, directors, trustees, etc				
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16 a	Legal fees (attach schedule)				
b	Accounting fees (attach schedule)				
c	Other professional fees (attach schedule)				
17	Interest				
18	Taxes (attach schedule) (see page 14 of the instructions)	499			499
19	Depreciation (attach schedule) and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses (attach schedule)	4,865			4,865
24	Total operating and administrative expenses. Add lines 13 through 23	5,364			5,364
25	Contributions, gifts, grants paid	352,497			352,497
26	Total expenses and disbursements. Add lines 24 and 25	357,861			357,861
27	Subtract line 26 from line 12.				
a	Excess of revenue over expenses and disbursements	-197,085			
b	Net investment income (if negative, enter -0-)		11,204		
c	Adjusted net income (if negative, enter -0-)				

For Privacy Act and Paperwork Reduction Act Notice, see page 30 of the instructions.

Form **990-PF** (2009)

(HTA)

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing	1,513	42,245	42,245
	2 Savings and temporary cash investments		504,448	504,448
	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 page 15 of the instructions)			
	7 Other notes and loans receivable (attach schedule)			
	Less allowance for doubtful accounts			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10 a Investments—U S and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)	994,510	252,245	251,918
	c Investments—corporate bonds (attach schedule)			
	11 Investments—land, buildings, and equipment basis			
Less accumulated depreciation (attach schedule)				
12 Investments—mortgage loans				
13 Investments—other (attach schedule)				
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 the instructions Also, see page 1, item I)	996,023	798,938	798,611	
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 (attach schedule)			
	22 Other liabilities (describe)			
	23 Total liabilities (add lines 17 through 22)			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. <input type="checkbox"/>			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. <input checked="" type="checkbox"/>			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg, and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds	996,023	798,938	
30 Total net assets or fund balances (see page 17 of the instructions)	996,023	798,938		
31 Total liabilities and net assets/fund balances (see page 17 of the instructions)	996,023	798,938		

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	996,023
2 Enter amount from Part I, line 27a	2	-197,085
3 Other increases not included in line 2 (itemize)	3	
4 Add lines 1, 2, and 3	4	798,938
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	798,938

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 See Attached Statement				
b				
c				
d				
e				
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)	
a				
b				
c				
d				
e				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))	
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any		
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	-278,414	
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 pages 13 and 17 of the instructions) If (loss), enter -0- in Part I, line 8		3		

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 page 18 of 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 (col. (b) divided by col. (c))
2008	60,916	855,833	0.071177
2007	2,913	655,303	0.004445
2006			
2005			
2004			
2 Total of line 1, column (d)			2 0.075622
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 0.037811
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5			4 778,069
5 Multiply line 4 by line 3			5 29,420
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 112
7 Add lines 5 and 6			7 29,532
8 Enter qualifying distributions from Part XII, line 4 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 on page 18			8 357,861

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

1 a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	112
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	
3 Add lines 1 and 2		3	112
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	112
6 Credits/Payments.			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a	46	
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	46	
8 Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	66	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be Credited to 2010 estimated tax Refunded	11		

Part VII-A Statements Regarding Activities

	Yes	No
1 a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation \$ _____ (2) On foundation managers \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ _____		
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.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	X	
8 a Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) RI		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2009 or the taxable year beginning in 2009 (see instructions for Part XIV on page 27)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	X	

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see page 20 of the 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 ▶				
14	The books are in care of ▶ <u>The Organization</u>	Telephone no. ▶ <u>401-727-9000</u>		
	Located at ▶ <u>162 Middle Street Pawtucket RI</u>	ZIP+4 ▶ <u>02860</u>		
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—Check here ▶ <input type="checkbox"/>			
	and enter the amount of tax-exempt interest received or accrued during the year ▶ 15			

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly)		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here ▶ <input type="checkbox"/>	1b	N/A
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ 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 page 20 of 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If "Yes," did it have excess business holdings in 2009 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009)	3b	N/A
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009?	4b	X

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 page 22 of the 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 page 22 of the instructions)? ☐ Yes ☒ No
Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No
If "Yes," attach the statement required by Regulations section 53.4945–5(d)

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? ☐ Yes ☒ 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? ☐ Yes ☒ No

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 page 22 of the 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
Daniel J Sullivan Jr 16 Garwaine Drive Lincoln RI 02865	Trustee 10 00			
John Galvin 62 Carriage Drive Lincoln RI 02865	Director 10 00			
Michael Horan 393 Armistice Blvd Pawtucket RI 02861	Director 10 00			

2 Compensation of five highest-paid employees (other than those included on line 1—see page 23 of the 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 ▶ 1

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 page 23 of the instructions). If none, enter "NONE."

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		

Total number of others receiving over \$50,000 for professional services ▶ 1

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 page 24 of the instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2

	Amount
1 NONE	
2	
All other program-related investments. See page 24 of the instructions	
3	
Total. Add lines 1 through 3 ▶	

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see page 24 of the 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	420,420
b	Average of monthly cash balances	1b	369,498
c	Fair market value of all other assets (see page 24 of the instructions)	1c	
d	Total (add lines 1a, b, and c)	1d	789,918
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	789,918
4	Cash deemed held for charitable activities. Enter 1½ % of line 3 (for greater amount, see page 25 of the instructions)	4	11,849
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	778,069
6	Minimum investment return. Enter 5% of line 5	6	38,903

Part XI Distributable Amount (see page 25 of the 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	38,903
2a	Tax on investment income for 2009 from Part VI, line 5	2a	112
b	Income tax for 2009 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	112
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	38,791
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	38,791
6	Deduction from distributable amount (see page 25 of the instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	38,791

Part XII Qualifying Distributions (see page 25 of the 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	357,861
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	357,861
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 page 26 of the instructions)	5	112
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	357,749

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 page 26 of the instructions)

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				38,791
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			10,727	
b Total for prior years. 20 <u>05</u> , 20 <u>06</u> , 20 <u>07</u>		29,489		
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				
4 Qualifying distributions for 2009 from Part XII, line 4 \blacktriangleright \$ <u>357,861</u>				
a Applied to 2008, but not more than line 2a			10,727	
b Applied to undistributed income of prior years (Election required—see page 26 of the instructions)				
c Treated as distributions out of corpus (Election required—see page 26 of the instructions)				
d Applied to 2009 distributable amount				38,791
e Remaining amount distributed out of corpus	308,343			
5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	308,343			
b Prior years' undistributed income Subtract line 4b from line 2b		29,489		
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				
d Subtract line 6c from line 6b Taxable amount—see page 27 of the instructions		29,489		
e Undistributed income for 2008 Subtract line 4a from line 2a Taxable amount—see page 27 of the instructions				
f Undistributed income for 2009 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2010				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions)				
8 Excess distributions carryover from 2004 not applied on line 5 or line 7 (see page 27 of the instructions)				
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a	308,343			
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	308,343			

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 <i>Paid during the year</i> SEE ATTACHED LIST				352,497
Total			▶ 3a	352,497
b <i>Approved for future payment</i> RI LITERACY PARTNERSHIP RI MOUNT SAINT CHARLES ACADEMY RI BRADLEY HOSPITAL RI SAINT RAPHAELS RI HOME HOSPICE CARE OF RI RI			EDUCATION EDUCATION SICK EDUCATION SICK	35,000 15,000 20,000 10,000 40,000
Total			▶ 3b	120,000

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

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

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

OMB No 1545-0047

2009

Name of the organization

Employer identification number

The Alice I Sullivan Charitable Foundation

20-8256471

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

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

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

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

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

☐ 501(c)(3) taxable private foundation

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

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

General Rule

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

Special Rules

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3 % support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h or (ii) Form 990-EZ, line 1. Complete Parts I and II.

- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, aggregate contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.

- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not aggregate to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year ▶ \$

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

Name of organization

The Alice I Sullivan Charitable Foundation

Employer identification number

20-8256471

Part I Contributors (see instructions)

(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	COLLETTE TRAVEL SERVICE INC. 162 MIDDLE STREET PAWTUCKET RI 02860 Foreign State or Province Foreign Country	\$ 425,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
2	 Foreign State or Province Foreign Country	\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
3	 Foreign State or Province Foreign Country	\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
4	 Foreign State or Province Foreign Country	\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
5	 Foreign State or Province Foreign Country	\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
6	 Foreign State or Province Foreign Country	\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)

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

Date	Check Num	Charity (All are Organizations)	501 (c) status yes/no	Purpose of Contribution	Amount
02/21/2009	2019	McAuley House	yes	Lunch on Us Program	10,000.00
02/21/2009	2020	Home & Hospice Care Rhode Island	yes	Capital Campaign	10,000.00
06/02/2009	2021	Gorton Junior High School	yes	National History Day	50.00
02/21/2009	2021	Red Sox Foundation	yes	Rookie League 09 Corp Sponsor	15,000.00
06/30/2009	2022	Fairfield University	yes	Scholarships	25,000.00
03/04/2009	2022	Pawtucket Foundation	yes	Donation	6,250.00
03/04/2009	2023	United Way of RI	yes	Donation	173.00
06/30/2009	2023	University of Miami	yes	Scholarships	2,000.00
06/30/2009	2024	Grow Smart RI	yes	Preservation	1,500.00
03/04/2009	2024	Tourism Cares for Tomorrow	yes	Preservation	15,000.00
03/04/2009	2025	Slater Mill Museum	yes	Scholarships	2,500.00
06/30/2009	2025	Woodlawn Catholic School	yes	Foreign Language Program	8,000.00
03/12/2009	2041	Boston Bruins Foundation	yes	Donation	5,000.00
03/19/2009	2042	Tourism Cares for Tomorrow	yes	Preservation	7,200.00
03/19/2009	2043	YMCA of Pawtucket	yes	Youth	10,000.00
03/19/2009	2044	Meeting Street Center	yes	Education	10,000.00
03/19/2009	2045	Ryan Mason Michalczyk Memorial Fund	yes	Youth Playground project	2,500.00
03/19/2009	2046	EG Rotary/ ALS	yes	Donation	100.00
03/24/2009	2047	Lake Erie Baseball Club	yes	Sponsorship	250.00
03/26/2009	2048	Alvin H Linker Memorial	yes	In memory of the deceased	100.00
03/26/2009	2049	Providence College	yes	Celebrate the Arts	1,000.00
03/26/2009	2050	Firemen's Relief Association	yes	In memory of the deceased	75.00
03/26/2009	2051	St Edwards Food & Wellness Center	yes	Homeless	414.00
03/26/2009	2052	American Heart Association	yes	Sick	460.00
03/26/2009	2053	RI Community Food Bank	yes	Corporate Sponsor	5,000.00
03/26/2009	2054	Multiple Sclerosis Society	yes	In memory of the deceased	250.00
03/26/2009	2055	Providence Ronald McDonald House	yes	Corporate Sponsor	1,000.00
04/01/2009	2056	Education in Action	yes	silver sponsorship - breakfast	600.00

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

Date	Check Num	Charity (All are Organizations)	501 (c) status yes/no	Purpose of Contribution	Amount
04/01/2009	2057	The Gamm Theater	yes	Play Education Program	2,500.00
04/01/2009	2058	Dana Farber Cancer Institute	yes	In memory of the deceased	500.00
04/01/2009	2059	The Collette Foundation	yes	In memory of the deceased	100.00
04/01/2009	2060	ReFocus	yes	Education	7,500.00
04/10/2009	2061	Groton Senior Citizens Club	yes	Elderly	100.00
04/10/2009	2062	Little Sisters of the Poor	yes	2009 Corporate Sponsorship	5,000.00
04/30/2009	2066	Providence SummerBridge	yes	Academic Program	2,500.00
04/30/2009	2067	F D N Y Columbia Association	yes	Alice I Sullivan Scholarship	1,000.00
04/30/2009	2068	City Year RI	yes	Young Heroes Program	10,000.00
05/07/2009	2069	Leo A Savoie PTA	yes	Benefit for Jack Geurin	100.00
05/07/2009	2070	March of Dimes	yes	Sick	2,500.00
05/07/2009	2071	Catholic Charity Fund Appeal	yes	Corporate Sponsorship	2,500.00
05/14/2009	2072	Brown University	yes	DJS Sr Memorial Athletic Scholarship	1,000.00
05/14/2009	2073	Assumption College	yes	DJS Sr Memorial Athletic Scholarship	1,000.00
05/14/2009	2074	Providence College	yes	Wally Gordon Scholarship	2,000.00
05/18/2009	2075	Narragansett Council - Boy Scouts America	yes	2009 Annual Pledge	10,000.00
06/02/2009	2076	Wheaton College	yes	DJS Scholarship - Tolman	1,000.00
06/02/2009	2077	Providence College	yes	DJS Scholarship - Tolman	1,000.00
06/02/2009	2078	Breast Cancer 3 Day Walkathon	yes	Walkathon	100.00
06/02/2009	2079	Epilepsy Foundation of RI	yes	Sick	75.00
06/02/2009	2080	Phoenix House of NE	yes	Corporate Sponsor	250.00
06/29/2009	2081	Life Span Foundation	yes	In memory of the deceased	150.00
06/29/2009	2082	Willow Creek Community Church	yes	In memory of the deceased	75.00
06/29/2009	2083	Boys & Girls Club of Pawtucket	yes	RBI Summer Program - Youth	15,000.00
06/29/2009	2084	St. Raphael Academy	yes	DJS Scholarship	2,500.00
06/29/2009	2085	Smithfield FOP	yes	Corporate Sponsor	1,500.00
06/29/2009	2086	Meeting Street Center	yes	Annual Campaign	5,000.00
07/02/2009	2087	Pawtucket Foundation	yes	Preservation	6,250.00

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

Date	Check Num	Charity (All are Organizations)	501 (c) status yes/no	Purpose of Contribution	Amount
07/02/2009	2088	Women & Infants Hospital	yes	Onward Campaign	5,000.00
07/14/2009	2089	Bentley College	yes	3rd year Wally Gordon award	2,000.00
07/14/2009	2090	Indiana University	yes	Lakye Edward (DJS) Scholarship	2,000.00
07/14/2009	2091	Mount St. Charles Academy	yes	Capital Campaign	10,000.00
07/16/2009	2092	Habitat for Humanity	yes	Poor	250.00
07/16/2009	2093	Belmont University	yes	Scholarships	2,000.00
07/16/2009	2094	Emanuel College	yes	Scholarships	2,000.00
07/30/2009	2095	CECP	yes	Membership	10,000.00
07/30/2009	2096	UMASS Amherst	yes	Scholarships	2,000.00
07/30/2009	2097	Rhode Island College	yes	Scholarships	2,000.00
07/30/2009	2098	Western New England College	yes	Scholarships	2,000.00
07/30/2009	2099	URI	yes	Scholarships	2,000.00
08/17/2009	2100	Little Sisters of the Poor	yes	Feast Day honoring Jeanne Jugan	250.00
07/30/2009	2101	RI Shriners	yes	Big Apple Circus Sponsor	250.00
08/21/2009	2103	UMass Dartmouth	yes	Scholarships	2,000.00
08/21/2009	2104	Vermont Technical College	yes	Scholarships	2,000.00
08/26/2009	2106	St. Jude's Children's Research Hospital	yes	Corp sponsor	10,000.00
09/02/2009	2107	Fitchburg State College	yes	Scholarships	2,000.00
09/02/2009	2108	Rhode Island College	yes	Scholarships	2,000.00
09/02/2009	2109	Donate Life America	yes	In memory of the deceased	75.00
09/02/2009	2110	South Shore Elder Services	yes	In memory of the deceased	500.00
09/09/2009	2111	St. Marys Church	yes	September Food Booth	250.00
09/30/2009	2112	Old North Church	yes	In memory of the deceased	100.00
10/01/2009	2113	The Jimmy Fund	yes	Walkathon	312.00
10/01/2009	2114	St. Raphael Academy	yes	Capital Contribution	10,000.00
10/01/2009	2115	RI Literacy Initiative	yes	Education	34,188.00
10/16/2009	2116	Pawtucket Public Schools	yes	Jr High Athletics Program	15,000.00
10/16/2009	2117	Barrington Boosters	yes	Education	100.00

Line 3a, Part XV (990-PF) - Grants and Contributions Paid During the Year					
Date	Check Num	Charity (All are Organizations)	501 (c) status yes/no	Purpose of Contribution	Amount
10/16/2009	2118	Bryant University	yes	Scholarships	2,000.00
10/16/2009	2119	St. Mary's Education Fund	yes	Education	400.00
11/19/2009	2120	St. Mary's Education Fund	yes	Education	1,600.00
12/01/2009	2121	St Edwards Food & Wellness Center	yes	Homeless	5,000.00
12/02/2009	2122	Celebrate RI	yes	Annual sponsorship	2,500.00
12/10/2009	2123	Tee for Tots	yes	Sponsorship	100.00
					352,497.00

Line 18 (990-PF) - Taxes

499					499
	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1					
2	Tax on investment income	499			499
3					
4					
5					
6					
7					
8					
9					
10					

Line 23 (990-PF) - Other Expenses

		4,865	4,865		
	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	Amortization See attached statement				
2	License and Fees	60			60
3	Bank Fees	4,805			4,805
4					
5					
6					
7					
8					
9					
10					

Part II, Line 10b (990-PF) - Investments - Corporate Stock

	Description	Num Shares/ Face Value	Book Value Beg. of Year	Book Value End of Year	FMV Beg. of Year	FMV End of Year
			994,510	252,245	672,981	251,918
1	RUSSELL INVESTMENTS GLOBAL EQUITY	3,917	39,712		22,559	
2	RUSSELL INVESTMENT EMERGING MARK	1,381	31,743		13,643	
3	RUSSELL INVESTMENT MULTISTRATEGY					
4	RUSSELL INVESTMENT COMPANY REAL E	1,314	53,001		31,748	
5	RUSSELL INVESTMENT QUANT EQUITY F	4,429	151,520		94,202	
6	RUSSELL INVESTMENT US CORE EQUITY	4,669	153,094		88,756	
7	RUSSELL INVESTMENT INTL SECURITIES	3,262	144,940		77,545	
8	RUSSELL INVESTMENT SPECIAL GROWTH	315				
9	RUSSELL INVESTMENT STRATEGIC BOND	34,917	379,234		321,234	
10	RUSSELL INVESTMENT SMALL & MID CAP	1,689	41,266		23,294	
11	FIXED INCOME SECURITIES	33		252,245		251,918

1

[illegible]

Part VIII, Line 1 (990-PF) - Compensation of Officers, Directors, Trustees and Foundation Managers[illegible]

Part

	Compensation	Benefits	Expense Account	Explanation
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Part XVI-A, Lines 11a-11e (990-PF) - Other Revenue

		Unrelated Business Income		Excluded by Section 512, 513, or 514		
Program Service Revenue		Business Code	Amount	Exclusion Code	Amount	Related or Exempt Function Income
1	DONATIONS			42	427,986	
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						

Part VI, Line 6a (990-PF) - Estimated Tax Payments

	Date	Amount
1 Credit from prior year return	5/15/2009	1 46
2 First quarter estimated tax payment		2
3 Second quarter estimated tax payment		3
4 Third quarter estimated tax payment		4
5 Fourth quarter estimated tax payment		5
6 Other payments		6
7 Total		7 46

Part XIII, Line 2a, Column C (990-PF) - Prior Year Undistributed Income

1 Distributable amounts for 2008 that remained undistributed at the beginning of the 2009 tax year	1 10,727
2	2
3	3
4	4
5	5
6	6
7	7
8	8
9	9
10 Total	10 10,727

Part XIII, Line 2b, Column B (990-PF) - Undistributed Income for Prior Years

1 Undistributed income for the 3rd year 2007	1 29,489
2 Undistributed income for the 4th year 2006	2
3 Undistributed income for the 5th year 2005	3
4 Total	4 29,489

Part XV, Lines 1a-1b (990-PF) - Information Regarding Foundation Managers

List Managers who contributed more than 2% of the total contributions received by the foundation	List Managers who own 10% or more of the stock of a corporation of which the foundation has a 10% or greater interest
1 NONE	
2	
3	
4	
5	
6	
7	
8	
9	
10	