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Return of Private Foundation

or Section 4947(a)(1) Nonexempt Charitable Trust

Treated as a Private Foundation

2009Department of the Treasury
Internal Revenue Service

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

For calendar year 2009, or tax year beginning

, and ending

G Check all that apply:

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name changeUse the IRS
label.
Otherwise,
print
or type.
See Specific
Instructions.

Name of foundation

THE LOTZ FAMILY FOUNDATION

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

98 DOGWOOD LANE

Room/suite

City or town, state, and ZIP code

NEW CANAAN, CT 06840

A Employer identification number

26-1590575

B Telephone number

203-966-9767C If exemption application is pending, check here ☐D 1. Foreign organizations, check here ☐2. Foreign organizations meeting the 85% test,
check here and attach computation ☐E If private foundation status was terminated
under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination
under section 507(b)(1)(B), check here ☐

H Check type of organization:

☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust☐ Other taxable private foundationI Fair market value of all assets at end of year
(from Part II, col. (c), line 16)

J Accounting method:

☒ Cash☐ Accrual☐ Other (specify) _____▶ \$ **1,056,192.** (Part I, column (d) must be on cash basis.)**Part I Analysis of Revenue and Expenses**

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

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue				
1 Contributions, gifts, grants, etc., received	500,000.		N/A	
2 Check ☐ if the foundation is not required to attach Sch B				
3 Interest on savings and temporary cash investments	66.	66.		STATEMENT 1
4 Dividends and interest from securities	11,290.	11,290.		STATEMENT 2
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	-9,381.			
b Gross sales price for all assets on line 6a	191,279.			
7 Capital gain net income (from Part IV, line 2)		0.		
8 Net short-term capital gain				
9 Income modifications				
10a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit or (loss)				
11 Other income				
12 Total. Add lines 1 through 11	501,975.	11,356.		
Operating and Administrative Expenses				
13 Compensation of officers, directors, trustees, etc	0.	0.		0.
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees				
b Accounting fees				
c Other professional fees				
17 Interest				
18 Taxes				
19 Depreciation and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses	2,589.	2,204.		2,549.
24 Total operating and administrative expenses. Add lines 13 through 23	2,589.	2,204.		2,549.
25 Contributions, gifts, grants paid	90,115.			90,115.
26 Total expenses and disbursements. Add lines 24 and 25	92,704.	2,204.		92,664.
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	409,271.			
b Net investment income (if negative, enter -0-)		9,152.		
c Adjusted net income (if negative, enter -0-)			N/A	

P
3

Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	527.	1,321.	1,321.
	2 Savings and temporary cash investments	491,108.	336,388.	336,388.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock			
	c Investments - corporate bonds			
Liabilities	11 Investments - land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 4	75,244.	638,441.	718,483.
	14 Land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers)	566,879.	976,150.	1,056,192.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
Net Assets or Fund Balances	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐			
	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 ▶ ☒			
	and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	566,879.	976,150.	
28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.		
29 Retained earnings, accumulated income, endowment, or other funds	0.	0.		
30 Total net assets or fund balances	566,879.	976,150.		
31 Total liabilities and net assets/fund balances	566,879.	976,150.		

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	566,879.
2 Enter amount from Part I, line 27a	2	409,271.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	976,150.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	976,150.

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 SECURITY SALES - MERRILL LYNCH #874-04B33 -			
b SEE ATTACHED STMT.		VARIOUS	VARIOUS
c CAPITAL GAINS DIVIDENDS			
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 191,244.		200,660.	-9,416.
c 35.			35.
d			
e			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			-9,416.
c			35.
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	-9,381.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8	{ }	3	N/A

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2008			
2007			
2006			
2005			
2004			

- 2** Total of line 1, column (d)
- 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
- 4** Enter the net value of noncharitable-use assets for 2009 from Part X, line 5
- 5** Multiply line 4 by line 3
- 6** Enter 1% of net investment income (1% of Part I, line 27b)
- 7** Add lines 5 and 6
- 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.

2	
3	
4	
5	
6	
7	
8	

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		1	183.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	183.
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	183.
6 Credits/Payments:			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a		
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		0.
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		183.
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
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? 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. ☐ \$ 0. (2) On foundation managers. ☐ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ☐ \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? 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	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☐ CT		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2009 or the taxable year beginning in 2009 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	X	

N/A

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>N/A</u>	13	X	
14	The books are in care of ► <u>PHILIP A. & WENDY D. LOTZ</u> Telephone no. ► <u>203-966-9767</u> Located at ► <u>98 DOGWOOD LANE, NEW CANAAN, CT</u> ZIP+4 ► <u>06840</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year	► <u>15</u>		

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☒ No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☒ No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes ☒ No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	☐ Yes ☒ No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here	<u>N/A</u>	1b
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
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009?	☐ Yes ☒ No	
If "Yes," list the years ► _____, _____, _____		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	<u>N/A</u>	2b
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► _____, _____, _____		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No	
b If "Yes," did it have excess business holdings in 2009 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009.)	<u>N/A</u>	3b
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a
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

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

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

N/A

☐ Yes ☐ No

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

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

6b

X

If "Yes" to 6b, file Form 8870.

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

N/A

7b

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
PHILIP A. LOTZ	TRUSTEE			
98 DOGWOOD LANE				
NEW CANAAN, CT 06840	1.00	0.	0.	0.
WENDY D. LOTZ	TRUSTEE			
98 DOGWOOD LANE				
NEW CANAAN, CT 06840	1.00	0.	0.	0.

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

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

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

0

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

(a) Name and address of each person paid more than \$50,000

Total number of others receiving over \$50,000 for professional services	0
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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

Part IX-B	Summary of Program-Related Investments
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1	N/A
---	-----

Total. Add lines 1 through 3	0.
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7

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	385,364.
b	Average of monthly cash balances	1b	166,542.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	551,906.
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	551,906.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	8,279.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	543,627.
6	Minimum investment return. Enter 5% of line 5	6	27,181.

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	27,181.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	183.
b	Income tax for 2009. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	183.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	26,998.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	26,998.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	26,998.

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	92,664.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	92,664.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	92,664.

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				26,998.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2009:				
a From 2004				
b From 2005				
c From 2006				
d From 2007				
e From 2008	118,436.			
f Total of lines 3a through e	118,436.			
4 Qualifying distributions for 2009 from Part XII, line 4: ► \$	92,664.			
a Applied to 2008, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2009 distributable amount				26,998.
e Remaining amount distributed out of corpus	65,666.			
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:	184,102.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	184,102.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2008. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2004 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a	184,102.			
10 Analysis of line 9:				
a Excess from 2005				
b Excess from 2006				
c Excess from 2007				
d Excess from 2008	118,436.			
e Excess from 2009	65,666.			

N/A

- b**
- Check box to indicate whether the foundation is a private operating foundation described in section

☐ 4942(i)(3) or ☐ 4942(i)(5)

- (4) Gross investment income**

[illegible]

NO

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
SEE STATEMENT 7				
Total			▶ 3a	90,115.
b Approved for future payment				
NONE				
Total			▶ 3b	0.

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

THE LOTZ FAMILY FOUNDATION

Employer identification number

26-1590575

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

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

Special Rules

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

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

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

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

Name of organization

Employer identification number

THE LOTZ FAMILY FOUNDATION

26-1590575

Part I Contributors (see instructions)

(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	PHILIP A. LOTZ 98 DOGWOOD LANE NEW CANAAN, CT 06840	\$ 250,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
2	WENDY D. LOTZ 98 DOGWOOD LANE NEW CANAAN, CT 06840	\$ 250,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)

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

SOURCE	AMOUNT
MERRILL LYNCH #874-04B33	66.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	66.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
MERRILL LYNCH #874-04B33	11,325.	35.	11,290.
TOTAL TO FM 990-PF, PART I, LN 4	11,325.	35.	11,290.

FORM 990-PF OTHER EXPENSES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MA ANNUAL FEE	150.	150.		150.
INVESTMENT MGT FEES	2,054.	2,054.		2,054.
RS FEDERAL EXCISE TAX - 008	40.	0.		0.
MISCELLANEOUS EXPENSES	345.	0.		345.
TOTAL TO FORM 990-PF, PG 1, LN 23	2,589.	2,204.		2,549.

FORM 990-PF OTHER INVESTMENTS STATEMENT 4

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
MUTUAL FUND INVESTMENTS	COST	638,441.	718,483.
TOTAL TO FORM 990-PF, PART II, LINE 13		638,441.	718,483.

FORM 990-PF	LIST OF SUBSTANTIAL CONTRIBUTORS PART VII-A, LINE 10	STATEMENT	5
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NAME OF CONTRIBUTOR

ADDRESS

ILIP A. LOTZ

98 DOGWOOD LANE
NEW CANAAN , CT 06840

NDY D. LOTZ

98 DOGWOOD LANE
NEW CANAAN, CT 06840

FORM 990-PF	PART XV - LINE 1A LIST OF FOUNDATION MANAGERS	STATEMENT	6
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NAME OF MANAGER

ILIP A. LOTZ

NDY D. LOTZ

FORM 990-PF

GRANTS AND CONTRIBUTIONS
PAID DURING THE YEAR

STATEMENT 7

RECIPIENT NAME AND ADDRESS	RECIPIENT RELATIONSHIP AND PURPOSE OF GRANT	RECIPIENT STATUS	AMOUNT
AQUIDNECK LAND TRUST 10 AQUIDNECK AVE. MIDDLETOWN, 02842	N/A TO PROTECT AND ENHANCE AQUIDNECK ISLAND'S OPEN SPACE	501(C)(3)	350.
AVON PRODUCTS FOUNDATION - AVON MILK FOR BREAST CANCER 100 AVON PLAZA RYE, NY 10580	N/A TO SUPPORT THE RESEARCH FOR THE CURE OF BREAST CANCER	501(C)(3)	300.
BABSON COLLEGE 11 FOREST STREET BABSON PARK, 02457	N/A TO FUND HIGHER EDUCATION PROGRAMS	501(C)(3)	5,000.
CONGREGATIONAL CHURCH 10 PARK STREET NEW CANAAN, CT 06840	N/A TO FURTHER SPIRITUAL AWARENESS, CHRISTIAN EDUCATION, AND SVC IN THE WORLD	501(C)(3)	2,500.
CONNECTICUT FOOD BANK 100 BRADLEY STREET EAST HAVEN , 06512	N/A FUNDING TO SUPPORT FOOD DONATIONS TO THOSE IN NEED	501(C)(3)	100.
INTERNATIONAL YACHT RESTORATION SCHOOL 99 THAMES STREET NEWPORT, RI 02840	N/A SUSTAINING EDUCATIONAL PROGRAMS FOR WOODEN BOAT CRAFTSMANSHIP	501(C)(3)	5,000.
LEUKEMIA & LYMPHOMA SOCIETY 500 PONTIAC AVE. CRANSTON, RI 02920	N/A TO FUND RESEARCH PROGRAMS, PATIENT SERVICES, AND EDUCATION PROGRAMS	501(C)(3)	16,000.
LEUKEMIA & LYMPHOMA SOCIETY 90 MARKET STREET SAN FRANCISCO, CA 94102	N/A TO FUND RESEARCH PROGRAMS, PATIENT SERVICES, AND EDUCATION PROGRAMS	501(C)(3)	3,000.

THE LOTZ FAMILY FOUNDATION

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MARCH OF DIMES 1275 MAMARONECK AVE WHITE PLAINS, NY 10605	N/A FUNDING TO IMPROVE THE HEALTH OF BABIES BY PREVENTING BIRTH DEFECTS	501(C)(3)	100.
MELANOMA FOUNDATION OF NEW ENGLAND 66 COMMONWEALTH AVE CONCORD, MA 01742	N/A FUND THE RESEARCH FOR PREVENTION OF SKIN CANCER	501(C)(3)	1,000.
MYSTIC SEAPORT MUSEUM 75 GREENMANVILLE AVE MYSTIC, CT 06355	N/A FUND THE RESEARCH AND PRESERVATION OF MARITIME COLLECTIONS	501(C)(3)	65.
NEW YORK YACHT CLUB FOUNDATION 37 WEST 44TH STREET NEW YORK, NY 10036	N/A SUPPORT THE PRESERVATION OF THE CLUB'S HISTORIC BLDGS IN NY AND RI	501(C)(3)	1,000.
PENNSYLVANIA UNIVERSTIY 3451 WALNUT STREET PHILDELPHIA , PA 19104	N/A TO FUND HIGHER EDUCATION PROGRAMS	501(C)(3)	1,000.
PSI UPSILON FOUNDATION 3003 EAST 96TH STREET INDIANAPOLIS, IN 46240	N/A PROVIDE ASSISTANCE TO NEEDY AND DESERVING STUDENTS FOR HIGHER EDUCATION	501(C)(3)	3,000.
SAIL NEWPORT 60 FORT ADAMS DRIVE NEWPORT, RI 02840	N/A PROMOTE SAILING AND SUPPORT PUBLIC ACCESS TO SAILING PROGRAMS	501(C)(3)	5,000.
SAILING FOUNDATION OF NEW YORK P.O. BOX 267 COS COB, CT 06807	N/A SUPPORT FOR SAILING TEAMS AND COMPETITION EVENTS	501(C)(3)	3,000.
SAILING HALL OF FAME 67-69 PRINCE GEORGE STREET ANNAPOLIS, MD 21401	N/A TO PRESERVE THE HISTORY OF SAILING AND ITS IMPACT ON OUR CULTURE	501(C)(3)	15,000.

THE LOTZ FAMILY FOUNDATION			26-1590575
AN DIEGO YACHT CLUB SAILING FOUNDATION 011 ANCHORAGE LANE SAN DIEGO, CA 92106	N/A TO PROMOTE NATIONAL AND INTL AMATEUR SAILING, MARITIME EDUC, AND COMPETITION	501(C)(3)	7,000.
RAMEN'S CHURCH INSTITUTE OF NEWPORT 8 MARKET SQUARE NEWPORT, RI 02840	N/A PROMOTE SAFETY & IMPROVED WORK CONDITIONS FOR THOSE SERVING IN MARITIME	501(C)(3)	1,500.
SOUTHPORT SAILING FOUNDATION P.O. BOX 946 SOUTHPORT, CT 06890	N/A FOR SUPPORT OF WEBSITE FOR SAILING LEARNING AND TRAINING REGIMENS	501(C)(3)	1,000.
THE HOLE IN THE WALL GANG CAMP 55 LONG WHARF DRIVE NEW HAVEN CT 06511	N/A TO HELP TRANSFORM THE EVERY DAY LIFE OF CHILDREN WITH PHYSICAL CHALLENGES	501(C)(3)	10,000.
UNIVERSITY OF PENNSYLVANIA - PENN FUND 451 WALNUT STREET PHILADELPHIA, PA 19104	N/A HELP UNDERWRITE THE EDUCATIONAL AND ATHLETIC EXPENSES FOR UNIV PENN STUDENTS	501(C)(3)	5,000.
UNIVERSITY OF PENNSYLVANIA - SAILING FUND 3003 EAST 96TH STREET PHILADELPHIA, PA 19104	N/A ASSIST THE SAILING EDUCATIONAL PROGRAMS OFFERED TO STUDENTS	501(C)(3)	3,000.
UNITED STATES SAILING ASSOCIATION 5 MARITIME DRIVE PORTSMOUTH , NH 02871	N/A PROMOTE AND SUPPORT THE SPORT OF SAILING IN THE UNITED STATES	501(C)(3)	1,000.
WORLD WILDLIFE FUND 250 TWENTY-FOURTH STREET, N.W. WASHINGTON, DC 20090	N/A TO PROTECT AND CONSERVE NATURAL AREAS AND ITS WILDLIFE POPULATIONS	501(C)(3)	200.
TOTAL TO FORM 990-PF, PART XV, LINE 3A			90,115.



THE LOTZ FAMILY FOUNDATION



Alc # 874-04B33

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Price	Cost Basis	Gain or (Loss)
1,545,000	ISHARES MSCI EMERGING	04/25/08	04/23/09	42,304.10	75,244.07	(32,939.97) ST
58,000	ISHARES RUSSELL 1000	04/23/09	08/05/09	2,546.18	2,163.98	382.20 ST
186,000	ISHARES RUSSELL 1000	04/24/09	08/05/09	8,165.35	7,064.28	1,101.07 ST
400,000	ISHARES RUSSELL 1000	04/24/09	08/05/09	17,559.92	15,191.64	2,368.28 ST
53,000	ISHARES RUSSELL 1000	04/23/09	08/05/09	2,767.69	2,308.15	459.54 ST
535,000	ISHARES RUSSELL 1000	04/24/09	08/05/09	27,938.06	23,741.21	4,196.85 ST
43,000	ISHARES MSCI EAFE INDEX	04/23/09	08/05/09	2,192.62	1,739.35	453.27 ST
430,000	RYDEX ETF TR RUSSELL TOP	04/24/09	08/05/09	21,926.26	17,809.48	4,116.78 ST
15,000	HEALTH CARE SELECT SPDR	04/23/09	08/05/09	305.23	259.35	45.88 ST
24,000	AMEX TECHNLGY SELECT SPDR	04/23/09	08/05/09	415.49	354.74	60.75 ST
52,984	GOLDMAN SACHS GRO OPP A	04/23/09	08/05/09	473.03	400.32	72.71 ST
22,797	NB LG CAP DISC GRW CL A	04/23/09	08/05/09	884.83	730.64	154.19 ST
105,970	MAINSTAY LG CP GRTH CL A	04/23/09	08/05/09	137.24	119.22	18.02 ST
				570.12	490.63	79.49 ST
231,704	ARTIO INTL EQUITY II I	04/23/09	08/05/09	2,620.56	2,050.58	569.98 ST
10,000	ARTIO INTL EQUITY II I	04/24/09	08/05/09	113.11	90.70	22.41 ST
41,326	LORD ABBETT VAL OPP FDI	04/23/09	08/05/09	471.12	396.71	74.41 ST
35,051	DAVIS NY VENTURE FD CL Y	04/23/09	08/05/09	984.58	807.91	176.67 ST
93,248	L SYLS INV GR BD FD CL Y	04/23/09	08/05/09	1,035.03	924.99	110.04 ST
216,789	MFS RESEARCH INTL A	04/24/09	08/05/09	2,742.38	2,202.58	539.80 ST
20,000	RYDEX ETF TR RUSSELL TOP	08/05/09	09/15/09	1,577.56	1,296.80	280.76 ST
15,000	VANGUARD VALUE ETF	08/05/09	09/15/09	690.28	653.97	36.31 ST
15,000	VANGUARD GROWTH ETF	08/05/09	09/15/09	732.28	699.75	32.53 ST
15,000	VANGUARD FTSE ALL WORLD	08/05/09	09/15/09	637.48	603.73	33.75 ST
30,000	HEALTH CARE SELECT SPDR	04/23/09	09/15/09	864.28	709.50	154.78 ST
30,000	SECTOR SPDR CONSMRS STPL	04/23/09	09/15/09	752.68	644.40	108.28 ST
30,000	AMEX TECHNLGY SELECT SPDR	04/23/09	09/15/09	619.18	500.40	118.78 ST
53,148	GOLDMAN SACHS GRO OPP A	04/23/09	09/15/09	949.74	732.91	216.83 ST
3,000	GOLDMAN SACHS GRO OPP A	04/24/09	09/15/09	53.62	42.35	11.27 ST
159,744	NB LG CAP DISC GRW CL A	04/23/09	09/15/09	1,004.79	835.46	169.33 ST
76,220	BLACKROCK LG CAP VALUE I	04/23/09	09/15/09	1,003.06	833.08	169.98 ST
78,590	MFS RESEARCH INTL I	04/23/09	09/15/09	1,115.19	806.23	308.96 ST
176,991	MAINSTAY LG CP GRTH CL A	04/23/09	09/15/09	1,003.54	819.46	184.08 ST
105,850	WEST ASST CORE BOND FI	04/23/09	09/15/09	1,087.12	933.64	153.48 ST
381,000	WEST ASST CORE BOND FI	04/24/09	09/15/09	3,912.88	3,368.03	544.85 ST
83,472	ARTIO INTL EQUITY II I	04/24/09	09/15/09	998.33	757.08	241.25 ST
82,305	LORD ABBETT VAL OPP FDI	04/23/09	09/15/09	1,004.12	790.12	214.00 ST
33,898	DAVIS NY VENTURE FDI CL Y	04/23/09	09/15/09	1,006.43	781.34	225.09 ST
1,336	L SYLS INV GR BD FD CL Y	04/23/09	09/15/09	15.31	13.26	2.05 ST
86,000	L SYLS INV GR BD FD CL Y	04/23/09	09/15/09	986.43	853.97	132.46 ST
4,000	RYDEX ETF TR RUSSELL TOP	04/23/09	10/13/09	323.40	259.37	64.03 ST
281,000	RYDEX ETF TR RUSSELL TOP	04/24/09	10/13/09	22,719.03	18,534.00	4,185.03 ST
9,000	ISHARES IBOX \$	04/23/09	12/22/09	941.82	882.47	79.35 ST
100,000	ISHARES IBOX \$	04/24/09	12/22/09	10,464.73	9,620.44	844.29 ST
6,000	ISHARES IBOX \$	08/05/09	12/22/09	627.89	618.12	9.77 ST
	TOTAL			91,244.07	200,660.41	< 9,416.34 >