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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.

2009

OMB No 1545-0052

For •	calendar year 2009, or	tax year beginning			, and er	rding		
G (	Check all that apply:	Initial retur		Initial return of a f	•	harity	Final return	1
_	None of to	Amended	eturn	Address chan	ge		Name change	
	the IRS Name of foun	dation					A Employer identification	number
	label. Jerwise, DNE CAI	PLAN FAMI	LY FOU	NDATION			42-1464965	
				elivered to street address)		Room/suite	8 Telephone number	
	type. 1 OAKNO	OLL CT.					(319)466-3	098
		state, and ZIP code					C If exemption application is p	
	IOWA C		52246				D 1. Foreign organizations	s, check here
4	Check type of organization			empt private foundation			Foreign organizations me check here and attach co	emputation
<u> </u>	Section 4947(a)(1) no		J Accounting	Other taxable private founding method: X Cash	ation Accru	ınl	E If private foundation sta	
	air market value of all ass com Part II, col (c), line	•	I —	her (specify)	L ACCIT	Jai	under section 507(b)(1)	• • •
("		391.961.		mn (d) must be on cash	basis )		F If the foundation is in a under section 507(b)(1)	
بكبح	ert I Analysis of Reve	nue and Expenses		(a) Revenue and	(b) Net inv	estment/	(c) Adjusted net	(d) Disbursements
	(The total of amount necessarily equal the	s in columns (b), (c), ar e amounts in column (a	id (d) may not a))	expenses per books	inco		income	for charitable purposes (cash basis only)
		s, grants, etc., rece		4,000.				
	Interest on savings as	foundation is not required t	o attach Sch B					
	cash investments			0.040		0 0 1 0		C
	l	rest from securities	3	9,040.		9,040.		STATEMENT 1
	5a Gross rents b Net rental income or (	loss)						
	6a Net gain or (loss) from		line 10	<4,214.	>			
Revenue	b Gross sales price for assets on line 6a		,786.	, , , , , ,				
eve	1	ne (from Part IV, line 2)				0.		
Œ	8 Net short-term cap	oital gain						
	9 Income modificati							
	10a and allowances							
	b Less Cost of goods of Gross profit or (10)							
	11 Other income	55)						
	12 Total. Add lines 1	through 11		8,826.		9,040.	0.	
	13 Compensation of office	cers, directors, trustees	s, etc	0.		0.	0.	0.
	14 Other employee sa	laries and wages						
Ś	15 Pension plans, em	ployee benefits						
Expenses	16a Legal fees	CIT	мт 2	025				025
xpe	<ul> <li>b Accounting fees</li> <li>c Other professional</li> </ul>		MT 2	835.		0.	0.	835.
ē	17 Int興任CEIV	ÆD						
ativ	18 Faxes	UST CST	ит 3	133.	<u>.</u>	0.	0.	0.
and Administrative	193 Depreciation and c	deplation OSO						
Ē	502 occubanch 32 Debtecration and c	2010				,		
Ψ	21 travel-conference	s, and meetings						
	22 Promos Delive							
ting	23_Other expenses	•	MT 4	8,594.		0.	0.	8,595.
era	24 Total operating an expenses Add lin			9,562.		0.	0.	9,430.
o	25 Contributions, gifts	_		13,125.				13,125.
	26 Total expenses ar				-			
	Add lines 24 and 2			22,687.		0.	0.	22,555.
	27 Subtract line 26 fro							
	& Excess of revenue over	er expenses and disbu	rsements	<13,861.				
	b Net investment in		·	· · · · · · · · · · · · · · · · · · ·	:	9,040.		
92350 02-02	C Adjusted net incom		-	A at Blatian at 1 1			0.	F 000 DF (0000)
02-02	2-10 LHA FORPRIVAC	y ACT and Paperwo	rk Reduction	Act Notice, see the instruc	UONS.			Form <b>990-PF</b> (2009)

Form **990-PF** (2009)

1

For	m 99	OO-PF. (2009) • DNE CAPLAN FAMILY FOUNDA			L464965 Page 2
P	art	Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only	Beginning of year	End of	<del></del>
<u> </u>			(a) Book Value	(b) Book Value	(c) Fair Market Value
	1	Cash - non-interest-bearing	6,611.	1,384.	1,384.
	2	Savings and temporary cash investments			
	3	Accounts receivable			
		Less: allowance for doubtful accounts			
	4	Pledges receivable >			
		Less: allowance for doubtful accounts			<u> </u>
	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			
ets	8	Inventories for sale or use			<del></del>
Assets	9	Prepaid expenses and deferred charges		- · · · · · · · · · · · · · · · · · · ·	<del></del>
•		Investments - U.S. and state government obligations			<del> </del>
		Investments - corporate stock			
	C	Investments - corporate bonds			
	11	Investments - land, buildings, and equipment basis			
- 1		Less accumulated depreciation			· · · · · · · · · · · · · · · · · · ·
		Investments - mortgage loans			
	13	Investments - other STMT 5	458,093.	449,459.	390,577.
	14	Land, buildings, and equipment: basis			
		Less accumulated depreciation			
	15	Other assets (describe)			
	16	Total assets (to be completed by all filers)	464,704.	450,843.	391,961.
		Accounts payable and accrued expenses	±0±,70±.	<u> </u>	331,3011
	18	Grants payable	_		
m	19	Deferred revenue			
ij	20	Loans from officers, directors, trustees, and other disqualified persons			
Liabilities	21	Mortgages and other notes payable			
<u>:</u>	22	Other liabilities (describe )			
		Other madmines (describe)			
	23	Total liabilities (add lines 17 through 22)	0.	0.	
_		Foundations that follow SFAS 117, check here		•	
		and complete lines 24 through 26 and lines 30 and 31			
ès	24	Unrestricted			
or Fund Balances	25	Temporarily restricted	_		
Bal		Permanently restricted	-		
힏		Foundations that do not follow SFAS 117, check here			
Ξ		and complete lines 27 through 31			
ō	27	Capital stock, trust principal, or current funds	0.	0.	
ets	28	Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
Ö	20 29	Retained earnings, accumulated income, endowment, or other funds	464,704.	450,843.	
et.	30	Total net assets or fund balances	464,704.	450,843.	
z	JU	Total not addets of faile balances	<u> </u>	420,043.	
	31	Total liabilities and net assets/fund balances	464,704.	450,843.	
P	art	Analysis of Changes in Net Assets or Fund Ba	lances		
1	Total	net assets or fund balances at beginning of year - Part II, column (a), line 3	0		
	mus	st agree with end-of-year figure reported on prior year's return)		_1	464,704.
		amount from Part I, line 27a		2	<13,861.
3	Othe	r increases not included in line 2 (itemize)		3	0.
		lines 1, 2, and 3		4	450,843.
5	Decr	eases not included in line 2 (itemize)		5	0.
		net assets or fund balances at end of year (line 4 minus line 5) - Part II, colu	ımn (b), line 30	6	450,843.
					Form <b>990-PF</b> (2009)

2

1a DFA INTERNATIONAL SMALL CO b VANGUARD INFLAT PROTECTED-IV c CAPITAL GAINS DIVIDENDS  d e  (e) Gross sales price (f) Depreciation allowed (or allowable) (or allowable) (or allowable)  17,000. 55,6  32,000. 11,4  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 (ii) F.M.V. as of 12/31/69 (iii) F.M.V. as of 12/31/69 (iii) F.M.V. as of 12/31/69 (iii) F.M.V. as of 12/31/69 (iv)
Capital Gains Dividends   Capital Gains Dividends   Capital Gains   Capital
de  (e) Gross sales price  (f) Depreciation allowed (or allowable)  (g) Cost or other basis plus expense of sale plus (f) plus (f) minus (g)  1, 4  2, 5, 6  2, 6  2, 7  4.
(e) Gross sales price (f) Depreciation allowed (or allowable) (g) Cost or other basis plus expense of sale (e) plus (f) minus (g)  a 11,357.
(e) Gross sales price (f) Depreciation allowed (or allowable)  a 11,357. b 33,425. c 4. d c 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 (i) Adjusted basis as of 12/31/69 (ii) F.M.V. as of 12/31/69 (iii) F.M.V. as of 12/31/69 (iiii) F.M.V. as of 12/31/69 (iv) F.M.V. as of
(or allowable) plus expense of sale (e) plus (f) minus (g)  a 11,357.
b 33,425.
c 4. d  d
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  (i) Adjusted basis as of 12/31/69  (ii) F.M.V. as of 12/31/69  (ij) Adjusted basis as of 12/31/69  (k) Excess of col. (i) over col. (j), if any
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  (i) Adjusted basis as of 12/31/69  (ii) F.M.V. as of 12/31/69  (ij) Adjusted basis over col. (i) over col. (j), if any  (k) Excess of col. (i) col. (k), but not less than -0-) or Losses (from col. (h))  (ii) F.M.V. as of 12/31/69  (iii) F.M.V. as of 12/31/69  (iv) F.M.V. as of 12/31/69  (iv) Excess of col. (i) col. (k), but not less than -0-) or Losses (from col. (h))  (iv) F.M.V. as of 12/31/69  (iv) F.M.V. as of 12/31/69  (iv) F.M.V. as of 12/31/69  (iv) Gains (Col. (h) gain minus col. (iv) col. (k), but not less than -0-) or Losses (from col. (h))  (iv) F.M.V. as of 12/31/69  (iv) F.M.V. as of 12/31/69  (iv) Gains (Col. (h) gain minus col. (iv)
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      (k) Excess of col. (i) col. (k), but not less than -0-) or Losses (from col. (h))   (i) F.M.V. as of 12/31/69  (j) Adjusted basis (k) Excess of col. (i) col. (k), but not less than -0-) or Losses (from col. (h))  (i) F.M.V. as of 12/31/69  (j) Adjusted basis (k) Excess of col. (i) col. (k), but not less than -0-) or Losses (from col. (h))  (i) Gains (Col. (h) gain minus col. (ii) col. (k), but not less than -0-) or Losses (from col. (h))  (i) F.M.V. as of 12/31/69  (j) Adjusted basis (k) Excess of col. (i) col. (k), but not less than -0-) or Losses (from col. (h))  (i) F.M.V. as of 12/31/69  (j) Adjusted basis (k) Excess of col. (i) col. (k), but not less than -0-) or Losses (from col. (h))  (i) F.M.V. as of 12/31/69  (j) Adjusted basis (k) Excess of col. (i) col. (k), but not less than -0-) or Losses (from col. (h))  (j) Adjusted basis (k) Excess of col. (i) col. (k), but not less than -0-) or Losses (from col. (h))  (j) Adjusted basis (k) Excess of col. (ii) col. (k), but not less than -0-) or Losses (from col. (h))  (j) Adjusted basis (k) Excess of col. (i) col. (k) put not less than -0-) or Losses (from col. (h))  (j) Adjusted basis (k) Excess of col. (i) col. (k) put not less than -0-) or Losses (from col. (h))  (j) Adjusted basis (k) Excess of col. (ii) col. (k) put not less than -0-) or Losses (from col. (h))  (j) Adjusted basis (k) Excess of col. (ii) col. (k) put not less than -0-) or Losses (from col. (h))  (j) Adjusted basis (k) Excess of col. (ii) put not less than -0-) or Losses (from col. (h))  (j) Adjusted basis (k) Excess of col. (ii) put not less than -0-) or Losses (from col. (h))  (j) Adjusted basis (k) Excess of col. (ii) put not less than -0-) or Losses (from col. (h))  (j) Adjusted basis (k) Excess of col. (ii) put not less than -0-) or Losses (from col. (h))  (j) Adjusted basis (k) Exces
(i) F.M.V. as of 12/31/69  (i) Adjusted basis as of 12/31/69  (k) Excess of col. (i) over col. (j), if any  (k) Excess of col. (i) col. (k), but not less than -0-) or Losses (from col. (h))  (k) Excess of col. (i) over col. (j), if any  (k) Excess of col. (i) col. (k), but not less than -0-) or Losses (from col. (h))  (c) 1, 4  (d) 2  (a) 4  (b) 1, 4  (c) 1, 4  (c) 1, 4  (d) 2  (d) 2  (e) 1, 4  (e) 2  (a) 4, 2  (a) 4, 2  (b) 2  (c) 1, (k), but not less than -0-) or Losses (from col. (h))  (b) 1, 4  (c) 1, 4  (d) 2  (e) 1, 4  (e) 2  (figain, also enter in Part I, line 7  (g) 1, 4  (h) Excess of col. (i) over col. (j), if any  (k) Excess of col. (i) col. (k), but not less than -0-) or Losses (from col. (h))  (c) 1, 4  (d) 2  (e) 1, 4  (e) 2  (figain, also enter in Part I, line 7  (g) 1, 4  (h) Excess of col. (i) over col. (j), if any  (s) 2  (c) 1, 4  (d) 2  (d) 2  (e) 1, 4  (e) 2  (figain, also enter in Part I, line 7  (figain, also enter in Part I, line 8, column (c).  (if (loss), enter -0- in Part I, line 8, column (c).  (if (loss), enter -0- in Part I, line 8, column (c).  (if (loss), enter -0- in Part I, line 8, column (c).  (if (loss), enter -0- in Part I, line 8, column (c).  (if (loss), enter -0- in Part I, line 8, column (c).  (if (loss), enter -0- in Part I, line 8, column (c).  (if (loss), enter -0- in Part I, line 8, column (c).
(i) F.M.V. as of 12/31/69 as of 12/31/69 over col. (j), if any  Losses (from col. (h))  a
to to to to to the control of the co
to d d d d d d d d d d d d d d d d d d d
c d e  Capital gain net income or (net capital loss)
Capital gain net income or (net capital loss)    If gain, also enter in Part I, line 7
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  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  Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income
Capital gain net income or (net capital loss) { If (loss), enter -0- in Part I, line 7 } 2 < 4, 2  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  Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income
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  Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income
If gain, also enter in Part I, line 8, column (c).  If (loss), enter -0- in Part I, line 8  N/A  Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income
If (loss), enter -0- in Part I, line 8  Part V   Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income
Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income
'as the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?  "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.  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  (col. (b) divided by col. (c)
2008 20,860. 391,633053
2008 20,860. 391,633053 2007 20,428. 440,177046
2008     20,860.     391,633.     .053       2007     20,428.     440,177.     .046       2006     19,968.     397,289.     .050
2008     20,860.     391,633.     .053       2007     20,428.     440,177.     .046       2006     19,968.     397,289.     .050       2005     17,573.     372,870.     .047
2008     20,860.     391,633.     .053       2007     20,428.     440,177.     .046       2006     19,968.     397,289.     .050
2008       20,860.       391,633.       .053         2007       20,428.       440,177.       .046         2006       19,968.       397,289.       .050         2005       17,573.       372,870.       .047         2004       16,426.       343,241.       .047
2008       20,860.       391,633.       .053         2007       20,428.       440,177.       .046         2006       19,968.       397,289.       .050         2005       17,573.       372,870.       .047         2004       16,426.       343,241.       .047         Total of line 1, column (d)       2       .244
2008       20,860.       391,633.       .053         2007       20,428.       440,177.       .046         2006       19,968.       397,289.       .050         2005       17,573.       372,870.       .047         2004       16,426.       343,241.       .047         Total of line 1, column (d)       2       .244         Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years
2008       20,860.       391,633.       .053         2007       20,428.       440,177.       .046         2006       19,968.       397,289.       .050         2005       17,573.       372,870.       .047         2004       16,426.       343,241.       .047         Total of line 1, column (d)       2       .244
2008       20,860.       391,633.       .053         2007       20,428.       440,177.       .046         2006       19,968.       397,289.       .050         2005       17,573.       372,870.       .047         2004       16,426.       343,241.       .047         Total of line 1, column (d)         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
2008       20,860.       391,633.       .053         2007       20,428.       440,177.       .046         2006       19,968.       397,289.       .050         2005       17,573.       372,870.       .047         2004       16,426.       343,241.       .047         Total of line 1, column (d)         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
2008       20,860.       391,633.       .053         2007       20,428.       440,177.       .046         2006       19,968.       397,289.       .050         2005       17,573.       372,870.       .047         2004       16,426.       343,241.       .047         Total of line 1, column (d)       2       .244         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       .048         Enter the net value of noncharitable-use assets for 2009 from Part X, line 5       4       350,2
2008       20,860.       391,633.       .053         2007       20,428.       440,177.       .046         2006       19,968.       397,289.       .050         2005       17,573.       372,870.       .047         2004       16,426.       343,241.       .047         Total of line 1, column (d)       2       .244         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       .048         Enter the net value of noncharitable-use assets for 2009 from Part X, line 5       4       350,2
2008       20,860.       391,633.       .053         2007       20,428.       440,177.       .046         2006       19,968.       397,289.       .050         2005       17,573.       372,870.       .047         2004       16,426.       343,241.       .047         Total of line 1, column (d)       2       .244         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       .048         Enter the net value of noncharitable-use assets for 2009 from Part X, line 5       4       350,2         Multiply line 4 by line 3
2008       20,860.       391,633.       .053         2007       20,428.       440,177.       .046         2006       19,968.       397,289.       .050         2005       17,573.       372,870.       .047         2004       16,426.       343,241.       .047         Total of line 1, column (d)       2       .244         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       .048         Enter the net value of noncharitable-use assets for 2009 from Part X, line 5       4       350,2         Multiply line 4 by line 3
2008   20 , 860 . 391 , 633
2008   20,860.   391,633.   .053
2008   20 , 860   391 , 633
2008   20 , 860 . 391 , 633

orr	n 990-PF (2009)' DNE CAPLAN FAMILY FOUNDATION			<u>46496</u>		Page 4
Pa	art VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e),	or 494	8 - :	see inst	ructio	ns)
18	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%		1			90.
	of Part I, line 27b	İ	- 1			
C	: All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b) $-\int$	ľ				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<u></u> :	2			0.
3	Add lines 1 and 2	;	3			90.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<u></u>	4			<u>0.</u>
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	<u> </u>	5			<u>90.</u>
6	Credits/Payments:					
а	2009 estimated tax payments and 2008 overpayment credited to 2009					
b	Exempt foreign organizations - tax withheld at source		i			
C	Tax paid with application for extension of time to file (Form 8868)					
d	Backup withholding erroneously withheld 6d					
7	Total credits and payments. Add lines 6a through 6d	<u></u> :	7			0.
	Enter any penalty for underpayment of estimated tax. Check here if Form 2220 is attached	!	8			
	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	· —	9			90.
	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	_	10			
	Enter the amount of line 10 to be: Credited to 2010 estimated tax	<u> 1                                   </u>	11			
	art VII-A Statements Regarding Activities	<del></del>			157	T
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or interest.	rvene in			Yes	
	any political campaign?			_1a	<u> </u>	X_
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition of the property of the political purposes (see instructions for definition of the property			<u>1b</u>		X
	If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials put	olished o	r			
	distributed by the foundation in connection with the activities.					
	Did the foundation file Form 1120-POL for this year?			<u>1c</u>	<del> </del>	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. ► \$	0.				
е	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation				1	
	managers. • \$				ŀ	٦,
2	Has the foundation engaged in any activities that have not previously been reported to the IRS?			2	+	X
•	If "Yes," attach a detailed description of the activities.					
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorpora	uon, or		,		- v
40	bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes  Did the foundation have unrelated business gross income of \$1,000 or more during the year?			3	<u></u>	X
	If "Yes," has it filed a tax return on Form 990-T for this year?		N/	A 4a 4b	<del> </del>	+^-
	Was there a liquidation, termination, dissolution, or substantial contraction during the year?		14/	5		x
Ū	If "Yes," attach the statement required by General Instruction T.			-	+	+
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either:					
Ĭ	By language in the governing instrument, or					
	<ul> <li>By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the</li> </ul>	state lav	v			
	remain in the governing instrument?	otato la v	•	6		x
7	Did the foundation have at least \$5,000 in assets at any time during the year?			7	x	<del> </del>
-	If "Yes," complete Part II, col (c), and Part XV.			<u>'</u>	1	<del>                                     </del>
8a	Enter the states to which the foundation reports or with which it is registered (see instructions)					
-	IA					
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)			— I		
	of each state as required by General Instruction G? If "No," attach explanation			86	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	r calenda	ır	-3	1	
	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	Х	
_				Form 99		(2009)

-orm	990-PF (2009) DNE CAPLAN FAMILY FOUNDATION	42-1464	<u>965</u>		age 5
Pa	rt 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		<u>X</u>
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before			1	
	August 17, 2008?		12		<u> </u>
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?		13	X	
	Website address ► N/A	- /210\A		200	
14		no. ► (319)4		309	<u> </u>
	Located at ► 1 OAKNOLL CT, IOWA CITY, IA	ZIP+4 ▶ <u>52</u>	240		
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here	<b>►</b>   45	NT	/A	لـــا
Da	and enter the amount of tax-exempt interest received or accrued during the year int VII-B   Statements Regarding Activities for Which Form 4720 May Be Required	<b>▶</b> 15	14	/ A.	
10	·			Yes	No
10	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.  During the year did the foundation (either directly or indirectly):		$\vdash$	103	110
14	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	Yes X No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from)			ĺ	
	a disqualified person?	Yes X No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	Yes X No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	Yes X No		i	
	(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 X No			
	(6) Agree to pay money or property to a government official? (Exception. Check "No"				
	if the foundation agreed to make a grant to or to employ the official for a period after				
	termination of government service, if terminating within 90 days.)	🗌 Yes 🗶 No			
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations				
	section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?	N/A	1b		
	Organizations relying on a current notice regarding disaster assistance check here				
C	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected	d			
	before the first day of the tax year beginning in 2009?		1c		<u>X</u>
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)):	tion			
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) beg	inning		:	
	before 2009?	Yes X No			
	If "Yes," list the years ►				
þ	Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to income	orrect			
	valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and a				
	statement - see instructions.)	N/A	2b		
C	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.				
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time				
	during the year?	Yes X No			
b	If "Yes," did it have excess business holdings in 2009 as a result of (1) any purchase by the foundation or disqualified person	ns 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 Schede				
	Form 4720, to determine if the foundation had excess business holdings in 2009)	N/A	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		_X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable pu	rpose that			
	had not been removed from jeopardy before the first day of the tax year beginning in 2009?		4b	5-	<u> X</u>
		For	m <b>990</b>	-PF (2	2009)

orm 990-PF (2009) DNE CAPLAN FAMILY FOUNDA			<u>42-14649</u>	965	Page 6
Part VII-B   Statements Regarding Activities for Which F	orm 4720 May Be F	Required (contin	ued)		
5a During the year did the foundation pay or incur any amount to:					
(1) Carry on propaganda, or otherwise attempt to influence legislation (section	1 4945(e))?	Ye	s X No		
(2) Influence the outcome of any specific public election (see section 4955); or	r to carry on, directly or indire	ectly,			
any voter registration drive?		Ye	s X No		-
(3) Provide a grant to an individual for travel, study, or other similar purposes?	7	□ Ye	s X No		}
(4) Provide a grant to an organization other than a charitable, etc., organization					
509(a)(1), (2), or (3), or section 4940(d)(2)?			s X No		
(5) Provide for any purpose other than religious, charitable, scientific, literary,	or educational purposes, or t				-
the prevention of cruelty to children or animals?	or consumer purposses, or		s X No	1	ł
b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify und	for the excentions described				
section 53.4945 or in a current notice regarding disaster assistance (see instru		in regulations	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?		I/A	s L No		
If "Yes," attach the statement required by Regulations section 53 4945					
6a Did the foundation, during the year, receive any funds, directly or indirectly, to p	pay premiums on		. <b>.</b>		
a personal benefit contract?		Y6	s X No	.	٠,
<b>b</b> Did the foundation, during the year, pay premiums, directly or indirectly, on a program of the program of t	ersonal benefit contract?		ļ-	6b	<u> </u>
If "Yes" to 6b, file Form 8870.	<b>.</b>	[]			
7a At any time during the tax year, was the foundation a party to a prohibited tax s		Ye	s X No	_	<del> </del>
b If yes, did the foundation receive any proceeds or have any net income attributa		10:-0-1	N/A	7b	
Part VIII Information About Officers, Directors, Truste	es, Foundation Ma	inagers, Higniy	/		
List all officers, directors, trustees, foundation managers and their					
Cist all officers, directors, dustees, foundation managers and their		(c) Compensation	(d) Contributions to	(0) [	Expense
(a) Name and address	(b) Title, and average hours per week devoted	(If not paid,	(d) Contributions to employee benefit plans and deferred	1 00000	unt, other
	to position	enter -0-)	compensation	allo	wances
SEE ATTACHED SCHEDULE					
	0 00			_	F10
	0.00	0.	0,	, 5,	<u>517.</u>
<del></del>					
<del></del> -				-	<del></del>
				ļ	
				<u> </u>	
Compensation of five highest-paid employees (other than those inc		enter "NONE."	(d) Contributions to	1.31	<u> </u>
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week	(c) Compensation	(d) Contributions to employee benefit plans and deferred	1 40000	Expense unt, other
	hours per week devoted to position	(0)	compensation	allo	wances
NONE					
				<u> </u>	
				ļ	
				<u> </u>	
otal number of other employees paid over \$50,000					0
			Form	990-P	<b>F</b> (2009)

923551 02-02-10

Total. Add lines 1 through 3

All other program-related investments. See instructions.

P	art X Minimum Investment Return (All domestic foundations must complete this part. Foreign four	ndation	s, see instructions.)
1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
а	Average monthly fair market value of securities	1a	352,076.
b	Average of monthly cash balances	1b	352,076. 3,532.
	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	355,608.
е	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	355,608.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	5,334.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	350,274.
6	Minimum investment return. Enter 5% of line 5	6	17,514.
P	art XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and foreign organizations check here  and do not complete this part.)	d certai	1
1	Minimum investment return from Part X, line 6	1	17,514.
2a	Tax on investment income for 2009 from Part VI, line 5		<del>.</del>
b	Income tax for 2009. (This does not include the tax from Part VI.)		
C	Add lines 2a and 2b	2c	90.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	17,424.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	17,424.
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	17,424.
P	art XII Qualifying Distributions (see instructions)		
1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:	.	
а		1a	22,555.
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:		
а	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	<u>22,555.</u>
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	90.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	22,465.
	Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation of 4940(e) reduction of tax in those years.	qualifies	for the section

Part XIII	Undistributed Income (see instructions)
	<del></del>

	(a) Corpus	(b) Years prior to 2008	(c) 2008	( <b>d)</b> 2009
1 Distributable amount for 2009 from Part XI,		<del></del>		
line 7				17,424.
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 342.				
d From 2007 245.				
e From 2008 1,544.				
f Total of lines 3a through e	2,131.			
4 Qualifying distributions for 2009 from	2/1311			
Part XII, line 4: ▶\$ 22,555.				
a Applied to 2008, but not more than line 2a			0.	
<b>b</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.			
· · · · · · · · ·				17,424.
d Applied to 2009 distributable amount	5,131.			11,323.
e Remaining amount distributed out of corpus	0.			0.
5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a))				<u> </u>
6 Enter the net total of each column as indicated below:				
8 Corpus Add lines 3f, 4c, and 4e Subtract line 5	7,262.			
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	i			
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		į		
section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2004		1		
not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2010.				
Subtract lines 7 and 8 from line 6a	7,262.			
10 Analysis of line 9:				
a Excess from 2005				
<b>b</b> Excess from 2006 342.				
c Excess from 2007 245.		,		
d Excess from 2008 1,544.		!		
e Excess from 2009 5,131.				- 200 55
				Form <b>990-PF</b> (2009)

Part XIV Private Operating F	oundations (see in:		A, question 9)	N/A	±04903 rage it
1 a If the foundation has received a ruling o	<del></del> <del></del>			11/11	
foundation, and the ruling is effective fo			<b>▶</b>		
<b>b</b> Check box to indicate whether the found		<u>-</u>	n section	4942(j)(3) or 4	942())(5)
2 a Enter the lesser of the adjusted net	Tax year	Ī	Prior 3 years		
income from Part I or the minimum	(a) 2009	(b) 2008	(c) 2007	(d) 2006	(e) Total
investment return from Part X for					
each year listed					
<b>b</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)					<u> </u>
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	rmation (Cample	An Abin mant and	£ 46 - £	had 65 000 as see	
Part XV Supplementary Info at any time during t			t the foundation	nad \$5,000 or m	ore in assets
<del></del>		nstructions.,	· · · · · · · · · · · · · · · · · · ·		
1 Information Regarding Foundatio a List any managers of the foundation who	_	than 2% of the total cont	abutions received by the	foundation before the cle	oca of any tay
year (but only if they have contributed m			ibutions received by the	iounidation before the cit	ose of ally tax
NONE	. , ,				
b List any managers of the foundation who	o own 10% or more of th	e stock of a corporation (	or an equally large porti	on of the ownership of a p	partnership or
other entity) of which the foundation has					
NONE			<del></del>		
2 Information Regarding Contributi					
Check here ► X if the foundation o	nly makes contributions t	to preselected charitable	organizations and does i	not accept unsolicited req	uests for funds. If
the foundation makes gifts, grants, etc. (				omplete items 2a, b, c, an	d d.
f a The name, address, and telephone number $f N/A$	er of the person to whor	n applications should be	addressed:		
				<del></del>	
b The form in which applications should b	e submitted and informat	tion and materials they sh	ould include:		
N/A					
c Any submission deadlines: N/A					
d Any restrictions or limitations on awards	e cuch as hy geographic	l areae charitable fields	kinds of institutions or	other factore:	
N/A	, such as by geographica	n arcas, chainable lieiOS,	งเกนอ บา เกรเแนแบกร, 01	vinci lavivis.	
·					
923601 02-02-10	·				Form <b>990-PF</b> (2009)

3 Grants and Contributions Paid During the		Payment		
Recipient	If recipient is an individual.			
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	Of Substantial Continuotor	recipient		
SEE ATTACHED SCHEDULE				13,125
			į	
Total		I	<b>▶</b> 3a	13,125
b Approved for future payment				
NONE				
	,			
Total	<u> </u>		<b>▶</b> 3b	0
923611 02-02-10			<u> </u>	orm <b>990-PF</b> (2009

Part XVI-A Analysis of Income-Pro				42-1	.464965 Page 12
Enter gross amounts unless otherwise indicated.	Unrelated t	ousiness income	Excluded b	y section 512, 513, or 514	(0)
enter gross amounts unless otherwise moleateu.	(a)	(b)	(c) Exclu-	(d)	(e) Related or exempt
1 Program service revenue:	Business   code	Amount	sion	Amount	function income
			-		
ab					
c					
d	- I	<u>.</u>		-	
e		-			
1	<del></del>	<del></del>			
g Fees and contracts from government agencies				<del> ·</del>	
2 Membership dues and assessments					
3 Interest on savings and temporary cash		· ·			
investments			14		
4 Dividends and interest from securities			14	9,040.	
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		· <b>_</b>			<u> </u>
8 Gain or (loss) from sales of assets other					
than inventory		<u></u>	18	4.	<4,218.
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					·····
11 Other revenue:					
a	-		<u> </u>		
b		<del>.</del>			
C					
d	_				
e	— <del> </del>			0 044	.4 210
12 Subtotal. Add columns (b), (d), and (e)		0	•	9,044.	<4,218. 4,826.
13 Total. Add line 12, columns (b), (d), and (e)				13	4,040.
(See worksheet in line 13 instructions to verify calculation					
Part XVI-B Relationship of Activiti	es to the Accon	nplishment of I	Exempt P	urposes	
Line No. Explain below how each activity for which	income is reported in o	column (e) of Part XVI	-A contributed	I importantly to the accomi	olishment of
the foundation's exempt purposes (other			,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	importantly to the accomp	
N/A			<del></del>		
			<del></del>		
	18 1 181 1				
			·		<u>-</u>
		<del></del>			
	<u> </u>				

			APLAN FAMILY			42-1464965 Page 1	13	
Pa	rt X\			To and Transactions	and Relationships Witl	n Noncharitable		
_	D.4 +b	Exempt Organ		llowers with any other organizate	on described in section 501(c) of	Yes No	_	
	163 140	_						
		•	ation to a noncharitable exem	on 527, relating to political organ	IIIZALIUIIS!			
			ation to a noncharitable exem	ipt organization of.		1a(1) X		
(1) Cash (2) Other assets						1a(2) X		
		transactions:				10(2) - 22	-	
		ales of assets to a noncharita	ible evennt organization			1b(1) X		
	٠.		incharitable exempt organizati	ion		1b(2) X		
		tental of facilities, equipment,	· -	1011		1b(3) X		
		leimbursement arrangements				1b(4) X		
	٠,	oans or loan guarantees				1b(5) X		
			embership or fundraising solic	citations		1b(6) X		
	٠,		ailing lists, other assets, or pa			1c X		
					lways show the fair market value		_	
	or ser	vices given by the reporting f	oundation. If the foundation r	eceived less than fair market val	ue in any transaction or sharing a			
		(b) Amount involved	other assets, or services rece	ritable exempt organization	(d) Describes of transfers to			
(a) Lii	ne no	(b) Amount involved		<del></del>	(u) Description of transfers, tr	nsactions, and sharing arrangements		
			N/	' A			_	
							_	
			-				_	
				-			_	
							-	
						-	-	
		-					_	
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			<del> </del>				-	
	1- 41	face data and exactly as radius	Ab a officient of coult on a colored to				-	
				o, one or more tax-exempt organ	izations described	Yes X No	_	
			r than section 501(c)(3)) or in	1 Section 5217		Yes X No	J	
	II TES	s," complete the following sch (a) Name of org		(b) Type of organization	(c) Description	on of relationship	-	
		N/A	jumzation	(b) Typo or organization	(o) Boodinput	n or rotationomp	_	
		N/A				<del></del>	_	
			<u> </u>				-	
			<del></del>			<del></del>	-	
							-	
П	Inder p	enalties of perjury. I declare that I h	nave examined this return, including	g accompanying schedules and stater	ments, and to the best of my knowledge	a and belief, it is true, correct,	-	
				sed on all information of which prepare				
		WARRED MZ	( aglan	Fres: 1	Meas.			
စ္	<b>≥</b> 87	gnature of officer or trustee	- mg	5/7/10 Date	Title		-	
울낟		Preparer's			Date Check if	Preparer's identifying number	-	
Sign Here	ت <u>&gt;</u>	signature Robert	+ 1 Rolling	S-Y-W self- employed ▶	X 10000696			
Paid	Preparer's Use Only	707	REHFUSS CPA I	PLC .	EIN >	LALI 100000 10	-	
ية	Sep	frm's name (or yours BOB of self-employed).			LIN	<del> </del>	-	
- I	ر ∡	1101	. Jii Dikiii,	DOM JIIO				

319-248-0330

CORALVILLE, IOWA 52241

Phone no.

	<del></del>							
FORM 990-PF DIVIDENT	DS AND	INTER	EST FROM	SECUI	RITIES	STATEMEN	NT 1	
SOURCE		GROSS	S AMOUNT		ITAL GAINS IVIDENDS	COLUMN AMOUN		
DIVIDEND INCOME		9		<del>-</del>	4.	<u></u> 9	9,040.	
TOTAL TO FM 990-PF, PART I, I	LN 4		9,044.		4.	9	040.	
FORM 990-PF	AC	COUNTI	NG FEES	<del></del> -		STATEMEN	<b>IT</b> 2	
DESCRIPTION	EXPE	A) NSES BOOKS	NET INV		(C) ADJUSTED NET INCOM	CHARI	TABLE	
ACCOUNTING FEES, TAX PREP.		835.		0.		0.	835.	
TO FORM 990-PF, PG 1, LN 16B		835.		0.		0.	835.	
FORM 990-PF		TAX	ES			STATEMEN	1T 3	
DESCRIPTION	EXPE	A) NSES BOOKS	(B) NET INVI MENT INC	EST-			TABLE	
FEDERAL EXCISE TAX PAID		133.		0.		0.	0.	
TO FORM 990-PF, PG 1, LN 18 =		133.		0.	(	0.	0.	
FORM 990-PF		THER E	XPENSES			STATEMEN	IT 4	
DESCRIPTION	EXPE	A) NSES BOOKS	(B) NET INVI MENT INC		(C) ADJUSTED NET INCOM		TABLE	
MISCELLANEOUS OFFICE EXPENSES MEETING EXPENSES BROKERAGE FEES		77. 5,517. 3,000.		0.	(		77. 5,518. 3,000.	
TO FORM 990-PF, PG 1, LN 23		8,594.		0.		o. 8	595.	

FORM 990-PF OTHER	INVESTMENTS	STATEMENT 5		
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET	r
TIAA-CREF INVESTMENTS	COST	449,459.	390,5	77.
TOTAL TO FORM 990-PF, PART II, LINE	13	449,459.	390,5	77.

DNE Caplan Family Foundation 12/31/2009 EIN 42-1464965 Schedule of Substantial Contributors Form 990-PF, Part VII-A #10

Dr. Richard and Fredda Caplan 1 Oaknoll Ct. Iowa City, Iowa 52246

Total Contribution: \$4,000

DNE Caplan Family Foundation 12/31/2009 EIN 42-1464965 List of Officers, Directors, and their compensation: Form 990-PF, Part VIII #1.

				Ex	pense
	Title & avg hours		Payments	s Acc	count &
Name/address	Per week	Compensatio	n Benefit Pla	n Other A	Allowances
Richard Caplan 1 Oaknoll Ct. Iowa City, IA 52246	President/Treas/ Director	\$ -	\$ -	\$	3,280
Daniel Caplan 1704 Glendale Iowa City, IA 52245	Director	\$ -	\$ -	\$	647
Aaron Caplan 208 42nd St Manhattan Beach, CA 90266	Vice-President Director	\$ -	\$ -	\$	744
David Caplan 520 Brookland Park Drive Iowa City, IA 52246	Director	\$ -	\$ -	\$	686
Joel Caplan 29 Birkendene Rd. Caldwell, NJ 07006	Director	\$ -	\$ -	\$	160
Fredda Ellen Caplan 1 Oaknoll Ct. Iowa City, IA 52246	Secretary/ Director	\$	- \$	- \$	<u>-</u>
				\$	5,517

DNE Caplan Family Foundation 12/31/2009 EIN 42-1464965 Grants & Contributions paid during the year or approved for future payment Form 990-PF, Part XV #3a

Form 990-PF, Part XV #3a			
Name/address	Foundation Status	<u>Purpose</u>	Amount
Libn Foundation Eugene, OR	Operating	General Purpose	1,400
Iowa Legal Aid Des Moines, IA	N/A	General Purpose	200
Preucil School of Music Foundation lowa City, IA	N/A	General Purpose	300
United Way of Johnson County Iowa City, IA	Operating	General Purpose	1,800
Table to Table Iowa City, IA	N/A	Food Distribution	400
Shulman Hillel Foundation Iowa City, IA	N/A	General Purpose	1,000
Mazon Los Angeles, CA	Operating	Food Distribution	400
American Red Cross Cedar Rapids, IA	Operating	General Purpose	200
Foundation for Jewish Camping New York, NY	Operating	General Purpose	150
Iowa City Jewish Federation Iowa City, IA	Operating	General Purpose	1,800
Cedar Rapids Opera Foundation Cedar Rapids, IA	Operating	General Purpose	100
Humanities Iowa Iowa City, IA	Operating	General Purpose	100
Camp Discovery Schaumburg, IL	Operating	General Purpose	500
Iowa City Free Medical Clinic Iowa City, IA	N/A	Health Care Services	400
Johnson County Community Foundation lowa City, IA	Operating	Health Care Services	200
Riverside Theatre Iowa City, IA	Operating	General Purpose	225
University of Iowa Foundation Iowa City, IA	Operating	General Purpose	3,100
Piatigorsky Foundation New York, New York	Operating	General Purpose	150
Iowa Public Radio Des Moines, IA	Operating	General Purpose	200
Friends of Ypsilanti Youth Orchestra Ypsilanti, MI	Operating	General Purpose	100
Cedar Rapids Symphony Cedar Rapids, IA	Operating	General Purpose	100
Englert Theatre Iowa City, IA	Operating	General Purpose	200
Des Moines Metro Opera Foundation Des Moines, IA	Operating	General Purpose _	100

Caplan Family Foundation Average Assets 12/31/2009

	TIAA-Cref		
	Month End	US Bank	
	Stock Value	Beg. Bal.	Total Assets
January	310,753.70	8,861.44	319,615.14
February	292,075.43	6,761.44	298,836.87
March	307,132.86	6,611.44	313,744.30
Aprıl	330,427.18	6,611.44	337,038.62
May	345,028.51	6,281.04	351,309.55
June	345,202.70	5,313.04	350,515.74
July	364,572.49	1,385.60	365,958.09
August	375,050.38	125.26	375,175.64
September	389,028.81	107.18	389,135.99
October	380,756.21	107.18	380,863.39
November	394,306.56	107.18	394,413.74
December	390,576.98	107.18	390,684.16
	4,224,911.81	42,379.42	4,267,291.23
	/12_	/12	/12
Average assets for year	352,075.98	3,531.62	355,607.60