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Return of Private Foundation

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

Treated as a Private Foundation

2009

Department of the Treasury
Internal Revenue Service

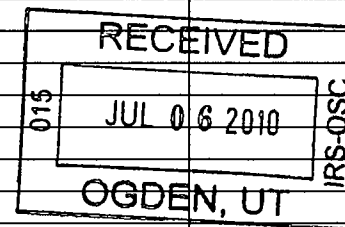
Note The foundation may be able to use a copy of this return to satisfy state reporting requirements.

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 change

Use the IRS label. Otherwise, print or type. See Specific Instructions.	Name of foundation STANLEY & LUCY LOPATA FOUNDATION		A Employer identification number 43-6099972
	C/O LOPATA, FLEGEL & CO LLP		B Telephone number 314-514-8881
	Number and street (or P.O. box number if mail is not delivered to street address)	Room/suite	
	600 MASON RIDGE CENTER DRIVE	100	
	City or town, state, and ZIP code ST. LOUIS, MO 63141		C If exemption application is pending, check here <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			D 1 Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 8,669,004. (Part I, column (d) must be on cash basis)	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	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))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received	2,733.		N/A	
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	1.	1.		STATEMENT 1
	4 Dividends and interest from securities	221,298.	221,298.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	<421,772.>			
	b Gross sales price for all assets on line 6a	1,266,534.			
	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	12,586.	12,586.		STATEMENT 3	
12 Total. Add lines 1 through 11	<185,154.>	233,885.			
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	STMT 4 8,150.	4,075.		4,075.
	c Other professional fees	STMT 5 19,901.	19,901.		0.
	17 Interest				
	18 Taxes	STMT 6 3,631.	3,631.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses	STMT 7 1,082.	0.		0.
	24 Total operating and administrative expenses. Add lines 13 through 23	32,764.	27,607.		4,075.
	25 Contributions, gifts, grants paid	479,425.			479,425.
26 Total expenses and disbursements. Add lines 24 and 25	512,189.	27,607.		483,500.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	<697,343.>				
b Net investment income (if negative, enter -0-)		206,278.			
c Adjusted net income (if negative, enter -0-)			N/A		



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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		30,740.	28,752.	28,752.
	2	Savings and temporary cash investments		812,168.	15,787.	15,787.
	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 STMT 8		263,887.	263,887.	262,003.
	b	Investments - corporate stock STMT 9		5,345,085.	5,861,586.	7,072,791.
	c	Investments - corporate bonds STMT 10		700,000.	400,000.	386,701.
Liabilities	11	Investments - land, buildings, and equipment basis ▶				
		Less accumulated depreciation ▶				
	12	Investments - mortgage loans				
	13	Investments - other STMT 11		922,717.	817,810.	902,970.
	14	Land, buildings, and equipment basis ▶				
		Less accumulated depreciation ▶				
	15	Other assets (describe ▶)		10,568.	0.	0.
	16	Total assets (to be completed by all filers)		8,085,165.	7,387,822.	8,669,004.
Liabilities	17	Accounts payable and accrued expenses				
	18	Grants payable				
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, and other disqualified persons				
	21	Mortgages and other notes payable				
	22	Other liabilities (describe ▶)				
	23	Total liabilities (add lines 17 through 22)		0.	0.	
Net Assets or Fund Balances		Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>				
		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 ▶ <input checked="" type="checkbox"/>				
		and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds		8,085,165.	7,387,822.	
Net Assets or Fund Balances	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		8,085,165.	7,387,822.	
	31	Total liabilities and net assets/fund balances		8,085,165.	7,387,822.	

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	8,085,165.
2	Enter amount from Part I, line 27a	2	<697,343.>
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	7,387,822.
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	7,387,822.

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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 SCHEDULE 1	P	VARIOUS	VARIOUS
b SEE SCHEDULE 2	P	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 121,584.		157,947.	<36,363.>
b 1,144,611.		1,530,359.	<385,748.>
c 339.			339.
d			
e			

(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			<36,363.>
b			<385,748.>
c			339.
d			
e			

2 Capital gain net income or (net capital loss)	<div style="display: flex; align-items: center;"> <div style="border-left: 1px solid black; border-right: 1px solid black; padding: 0 5px;"> If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 </div> <div style="margin-left: 10px;"> 2 <div style="float: right;"><421,772.></div> </div> </div>
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	<div style="display: flex; align-items: center;"> <div style="border-left: 1px solid black; border-right: 1px solid black; padding: 0 5px;"> If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8 </div> <div style="margin-left: 10px;"> 3 <div style="float: right;">N/A</div> </div> </div>

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	463,700.	9,820,127.	.047219
2007	384,532.	10,601,173.	.036273
2006	421,956.	9,395,943.	.044908
2005	314,061.	8,856,550.	.035461
2004	168,639.	8,113,558.	.020785

2 Total of line 1, column (d)	2	.184646
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	.036929
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	7,282,450.
5 Multiply line 4 by line 3	5	268,934.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,063.
7 Add lines 5 and 6	7	270,997.
8 Enter qualifying distributions from Part XII, line 4	8	483,500.

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.

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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 <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	2,063.
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	2,063.
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	2,063.
6 Credits/Payments:			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a	2,500.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c	3,500.	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	6,000.	
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		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	3,937.	
11 Enter the amount of line 10 to be: Credited to 2010 estimated tax <input checked="" type="checkbox"/> 2,100. Refunded <input checked="" type="checkbox"/>	11	1,837.	

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
b 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. <input checked="" type="checkbox"/> \$ 0. (2) On foundation managers. <input checked="" type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input checked="" type="checkbox"/> \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities	2	X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes	3	X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a	X
b If "Yes," has it filed a tax return on Form 990-T for this year?	4b	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.	5	X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV.	7	X
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input checked="" type="checkbox"/> MO		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	8b	X
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2009 or the taxable year beginning in 2009 (see instructions for Part XIV)? If "Yes," complete Part XIV	9	X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10	X

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>LOPATA, FLEGEL & COMPANY, LLP</u> Telephone no. ► <u>314-514-8881</u> Located at ► <u>600 MASON RIDGE CENTER DR, STE 100, ST. LOUIS, MO</u> ZIP+4 ► <u>63141</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	15		N/A

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<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	N/A	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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes," list the years: _____		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	N/A	2b
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► _____		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<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)	N/A	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

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
LUCY LOPATA	TRUSTEE			
ONE MCKNIGHT PLACE APT. NO. 308				
ST LOUIS, MO 63124	5.00	0.	0.	0.
JAMES R. LOPATA	TRUSTEE			
ONE EAST SHILLER				
CHICAGO, IL 60611	0.00	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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Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)***3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

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

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

0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments

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

	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3	0.

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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	7,027,258.
b	Average of monthly cash balances	1b	366,092.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	7,393,350.
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	7,393,350.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	110,900.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	7,282,450.
6	Minimum investment return. Enter 5% of line 5	6	364,123.

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	364,123.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	2,063.
b	Income tax for 2009. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	2,063.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	362,060.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	362,060.
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	362,060.

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	483,500.
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	483,500.
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	2,063.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	481,437.

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.

STANLEY & LUCY LOPATA FOUNDATION

Form 990-PF (2009)

C/O LOPATA, FLEGEL & CO LLP

43-6099972

Page 9

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				362,060.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			476,271.	
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				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2009 from Part XII, line 4: ▶ \$ 483,500.				
a Applied to 2008, but not more than line 2a			476,271.	
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				7,229.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2008. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010				354,831.
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	0.			
10 Analysis of line 9:				
a Excess from 2005				
b Excess from 2006				
c Excess from 2007				
d Excess from 2008				
e Excess from 2009				

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N/A

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

- (4) Gross investment income**

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

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount		
1 Program service revenue:						
a _____						
b _____						
c _____						
d _____						
e _____						
f _____						
g Fees and contracts from government agencies						
2 Membership dues and assessments						
3 Interest on savings and temporary cash investments			14	1.		
4 Dividends and interest from securities			14	221,298.		
5 Net rental income or (loss) from real estate:						
a Debt-financed property						
b Not debt-financed property						
6 Net rental income or (loss) from personal property						
7 Other investment income						
8 Gain or (loss) from sales of assets other than inventory			18	<421,772.>		
9 Net income or (loss) from special events						
10 Gross profit or (loss) from sales of inventory						
11 Other revenue:						
a TAX REFUND						12,586.
b _____						
c _____						
d _____						
e _____						
12 Subtotal. Add columns (b), (d), and (e)		0.		<200,473.>		12,586.
13 Total. Add line 12, columns (b), (d), and (e)					13	<187,887.>

(See worksheet in line 13 instructions to verify calculations.)

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

[illegible]

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

<p>1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?</p> <p>a Transfers from the reporting foundation to a noncharitable exempt organization of:</p> <p>(1) Cash</p> <p>(2) Other assets</p> <p>b Other transactions:</p> <p>(1) Sales of assets to a noncharitable exempt organization</p> <p>(2) Purchases of assets from a noncharitable exempt organization</p> <p>(3) Rental of facilities, equipment, or other assets</p> <p>(4) Reimbursement arrangements</p> <p>(5) Loans or loan guarantees</p> <p>(6) Performance of services or membership or fundraising solicitations</p> <p>c Sharing of facilities, equipment, mailing lists, other assets, or paid employees</p> <p>d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.</p>		Yes	No
	1a(1)		X
	1a(2)		X
	1b(1)		X
	1b(2)		X
	1b(3)		X
	1b(4)		X
	1b(5)		X
	1b(6)		X
	1c		X

[illegible]

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527?

☐ Yes ☒ No

b If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

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

Sign Here

Signature of officer or trustee

Date _____

→ Title

Preparer's
signature

Date _____

☐ Check if self-employed

Preparer's identifying number
P00192387

**Firm's name (or yours
if self-employed),
address, and ZIP code**

LOPATA, FLEGEL & COMPANY LLP
600 MASON RIDGE CENTER DR STE 100
ST. LOUIS, MISSOURI 63141

EIN ►

Phone no. **314-514-8881**

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

<u>SOURCE</u>	<u>AMOUNT</u>
US BANK CHECKING INTEREST	1.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	1.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

<u>SOURCE</u>	<u>GROSS AMOUNT</u>	<u>CAPITAL GAINS DIVIDENDS</u>	<u>COLUMN (A) AMOUNT</u>
US BANK TRUST	166,765.	0.	166,765.
US BANK TRUST	339.	339.	0.
US BANK TRUST	42,033.	0.	42,033.
US BANK TRUST	12,500.	0.	12,500.
TOTAL TO FM 990-PF, PART I, LN 4	221,637.	339.	221,298.

FORM 990-PF OTHER INCOME STATEMENT 3

<u>DESCRIPTION</u>	<u>(A) REVENUE PER BOOKS</u>	<u>(B) NET INVEST- MENT INCOME</u>	<u>(C) ADJUSTED NET INCOME</u>
TAX REFUND	12,586.	12,586.	
TOTAL TO FORM 990-PF, PART I, LINE 11	12,586.	12,586.	

FORM 990-PF ACCOUNTING FEES STATEMENT 4

<u>DESCRIPTION</u>	<u>(A) EXPENSES PER BOOKS</u>	<u>(B) NET INVEST- MENT INCOME</u>	<u>(C) ADJUSTED NET INCOME</u>	<u>(D) CHARITABLE PURPOSES</u>
LOPATA FLEGEL & COMPANY LLP	8,150.	4,075.		4,075.
TO FORM 990-PF, PG 1, LN 16B	8,150.	4,075.		4,075.

FORM 990-PF	OTHER PROFESSIONAL FEES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
US BANK INVESTMENT FEES	19,901.	19,901.			0.
TO FORM 990-PF, PG 1, LN 16C	19,901.	19,901.			0.

FORM 990-PF	TAXES			STATEMENT	6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
FOREIGN TAX PAID	3,631.	3,631.			0.
TO FORM 990-PF, PG 1, LN 18	3,631.	3,631.			0.

FORM 990-PF	OTHER EXPENSES			STATEMENT	7
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
MISCELLANEOUS EXPENSE	1,082.	0.			0.
TO FORM 990-PF, PG 1, LN 23	1,082.	0.			0.

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS	STATEMENT	8
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DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
US GOVERNMENT FUNDS	X		263,887.	262,003.
TOTAL U.S. GOVERNMENT OBLIGATIONS			263,887.	262,003.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			263,887.	262,003.

FORM 990-PF	CORPORATE STOCK	STATEMENT	9
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
VARIOUS COMMON STOCKS CORPORATE STOCKS	3,644,375.	4,808,818.
VARIOUS PREFERRED STOCKS CORPORATE STOCKS	1,522,578.	1,599,530.
EQUITY MUTUAL FUNDS	694,633.	664,443.
TOTAL TO FORM 990-PF, PART II, LINE 10B	5,861,586.	7,072,791.

FORM 990-PF	CORPORATE BONDS	STATEMENT	10
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
FIXED INCOME BONDS	400,000.	386,701.
TOTAL TO FORM 990-PF, PART II, LINE 10C	400,000.	386,701.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	11
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
FOREIGN STOCKS	COST	817,810.	902,970.
TOTAL TO FORM 990-PF, PART II, LINE 13		817,810.	902,970.

FORM 990-PF

GRANTS AND CONTRIBUTIONS
PAID DURING THE YEAR

STATEMENT 12

RECIPIENT NAME AND ADDRESS	RECIPIENT RELATIONSHIP AND PURPOSE OF GRANT	RECIPIENT STATUS	AMOUNT
AARP	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	200.
ADL ANTI-DEFAMATION	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
ALS DIVISION MUSCULAR DYSTROPHY	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	50.
ALZHEIMER'S ASSOCIATION	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
AMERICAN CANCER SOCIETY	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
AMERICAN LUNG ASSOC	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	50.
AMERICAN DIABETES ASSOC.	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	50.
AMERICAN FOUNDATION FOR THE BLIND	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	50.

AMERICAN JEWISH COMMITTEE	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	2,000.
AMERICAN JEWISH CONGRESS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
AMERICAN RED CROSS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,400.
AMERICAN SOCIETY OF YAD VASHEN	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
ARTS AND EDUCATION COUNCIL	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	3,000.
BARNES JEWISH HOSPITAL	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	50.
BNAI AMONNA	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	475.
B'NAI BRITH	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
BOY SCOUTS OF AMERICA	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
BOYS & GIRLS TOWN OF MO	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.

BRODSKY JEWISH COMM LIBRARY	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
BUTTERFLY HOUSE	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	25.
CAMPBELL HOUSE MUSEUM	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	50.
CENTER OF CONTEMPORARY ARTS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,950.
CENTRAL INSTITUTE FOR THE DEAF	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
CHANNEL NINE KETC	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
CHARACTER PLUS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	500.
CHILDREN'S HOSPITAL FUND	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
CHURCHILL SCHOOL	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
COLLEGE BOUND	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.

CONGREGATION SHAARE EMETH	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	625.
CONTEMPORARY ART MUSEUM	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	2,000.
CRAFT ALLIANCE	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
CROWN CENTER FOR SENIORS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	7,000.
DONALD DANFORTH PLANT SCIENCE	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	30,000.
EASTER SEALS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
EPILEPSY FOUNDATION	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
EUGENE FIELD HOUSE	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
FAITH ALOUD	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	50.
FOREST PARK FOREVER	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	3,050.

GIRL SCOUT COUNCIL	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
GRAND CENTER	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
HADARRAK	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
HELPING HANDS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
HERBERT HOOVER BOYS CLUB	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	500.
HILLEL	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	200.
HOLOCAUST MUSEUM	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	51,000.
HUMANE SOCIETY	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	250.
INTERNATIONAL INSTITUTE	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
JCC	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.

JCC ASSOCIATES	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,050.
JCC NEW JEWISH THEATRE	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	300.
JCRC	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
JEWISH FAMILY & CHILDREN'S SERVICE	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	800.
JEWISH FEDERATION	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	50,050.
JEWISH LIGHT	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	250.
JFC - FOOD PANTRY	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	5,500.
JFC - TREE OF LIGHTS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
KETC CHANNEL NINE	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
KFUO	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	500.

KWMU	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
LANDMARK ASSOCIATION OF ST. LOUIS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
LAUMEIER SCULPTURE PARK	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	200.
LEUKEMIA AND LYMPHOMA	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
LIFE SKILLS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
LOGOS SCHOOL	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	500.
MAGIC HOUSE	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	3,000.
MARCH OF DIMES	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
MARY INSTITUTE DAY SCHOOL	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	500.
METROPOLITAN OPERA ASSOC	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	50.

MID EAST AREA ON AGING	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
MIRIAM FOUNDATION	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	175,125.
MISSOURI BOTANICAL GARDENS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	11,675.
MISSOURI HISTORY MUSEUM	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	5,000.
MS SOCIETY BIKE 150	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	200.
MUSCULAR DYSTROPHY	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
NAAMAT USA	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	50.
NARAL PRO-CHOICE AMERICAN	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	200.
NATIONAL CONF. COMMUNITY	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	200.
NATURE CONSERVANCY	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	50.

NCJW	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	5,200.
OASIS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
OLDER WOMEN'S LEAGUE	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
OPERA THEATRE OF ST. LOUIS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	2,500.
OUR LITTLE HAVEN	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
PATHWAYS TO INDEPENDENCE	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	500.
PLANNED PARENTHOOD	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	4,000.
PROFESSIONAL THEATRE AWARD	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
REPERTORY THEATRE OF ST LOUIS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	200.
SALVATION ARMY	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.

SCHOLARSHIP FOUNDATION OF ST LOUIS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	5,000.
SHELDON ARTS FOUNDATION	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	8,000.
SHERWOOD FOREST CAMP	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
SPRINGBOARD TO LEARNING	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	250.
ST ANDREWS RESOURCES FOR SENIORS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	5,200.
ST LOUIS AREA FOODBANK	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	6,600.
ST LOUIS ART MUSEUM	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	5,000.
ST LOUIS CRISIS NURSERY	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
ST LOUIS PSYCHOANALYTIC	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
ST LOUIS RABBINICAL ASSOC	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	150.

ST LOUIS SCIENCE CENTER	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	2,500.
ST LOUIS SYMPHONY	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	15,000.
ST LOUIS ZOO	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
ST. LOUIS AMERICAN HEART ASSOCIATION	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.
SUSAN G. KOMEN FOUNDATION	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	300.
TOWER GROVE PARK	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	150.
UMSL	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	1,000.
UNITED STATE HOLOCAUSE MEMORIAL	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	200.
UNITED WAY OF ST LOUIS	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	16,000.
USO	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	100.

WASHINGTON UNIVERSITY	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	17,100.
WEBSTER UNIVERSITY	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	2,500.
WELLNESS COMMUNITY OF GREATER STL	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	2,500.
WORLD JEWISH CONGRESS FEDERATION	CHARITABLE ACTIVITIES OF THE ORGANIZATION	CHARITABLE ORGANIZATI	50.
TOTAL TO FORM 990-PF, PART XV, LINE 3A			<u>479,425.</u>

2009 Tax Information Statement

Page 10 of 37

Account Number: 42328190
 Recipient's Tax ID number: 43-6099972
 Payer's Federal ID number: 43-6300400
☐ Corrected ☐ 2nd TIN notice

Recipient's Name and Address
 LOPATA FOUNDATION
 ATTN: JONI SMITH
 600 MASON RIDGE DR, SUITE 100
 ST LOUIS, MO 63141

Payer's Name and Address
 U.S. BANK N.A. TRUST SERVICES
 P O BOX 387
 ST LOUIS, MO 63166

2009 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS are Gross Proceeds less commissions and option premiums.

Number of shares (Box 5)	CUSIP (Box 7)	Description (Box 7)	Date Acquired	Date of Sale	Stocks, Bonds, etc. (Box 2)	Cost or other Basis (Box 2)	Net Gain or Loss	Federal Income Tax Withheld (Box 4)
Short Term Sales Reported on 1099-B								
✓ 685.0000	00443E104	ACERGY SA A D R	09/17/2008	01/12/2009	✓ 2,716.11	✓ 310.66	-3,594.55	0.00
✓ 46.0000	767204100	RIO TINTO PLC A D R	09/17/2008	01/12/2009	✓ 4,407.43	✓ 12,864.82	-8,457.39	0.00
✓ 28.0000	92334N103	VEOLIA ENVIRONNEMENT A D R	09/17/2008	01/22/2009	✓ 2,715.26	✓ 521.91	-2,806.65	0.00
201.0000	23304Y100R	DBS GROUP HLDGS LTD RIGHTS SALE		02/09/2009	784.60	0.00	784.60	0.00
✓ 114.0000	606769305	MITSUBISHI CORP A D R	09/17/2008	02/26/2009	✓ 2,758.87	✓ 5,061.60	-2,302.73	0.00
✓ 198.0000	606769305	MITSUBISHI CORP A D R	09/17/2008	02/27/2009	✓ 4,972.99	✓ 8,791.20	-3,818.21	0.00
✓ 658.0000	780641205	KONINKLIJKE (ROYAL) KPN NV SP ADR	09/17/2008	04/14/2009	✓ 4,345.90	✓ 5,659.98	-1,314.08	0.00
✓ 601.0000	251566105	DEUTSCHE TELEKOM AG SPONSORED ADR	VARIOUS	05/04/2009	✓ 6,711.68	✓ 8,798.86	-2,087.18	0.00
✓ 17.0000	000375204	ABB LTD A D R	09/17/2008	05/11/2009	✓ 272.51	✓ 342.83	-70.32	0.00
✓ 6.0000	007924103	AEGON N V NY REG SHR	12/16/2008	05/11/2009	✓ 36.61	✓ 39.84	-3.23	0.00
✓ 6.0000	008916108	AGRIUM INC	09/17/2008	05/11/2009	✓ 267.56	✓ 468.96	-201.40	0.00
✓ 11.0000	03485P201	ANGLO AMERICAN PLC A D R	09/17/2008	05/11/2009	✓ 332.22	✓ 214.39	-82.17	0.00
✓ 10.0000	046353108	ASTRAZENECA PLC SPSD A D R	09/17/2008	05/11/2009	✓ 382.44	✓ 441.12	-58.68	0.00
✓ 19.0000	049255805	ATLAS COPCO AB A D R CL B	09/17/2008	05/11/2009	✓ 154.85	✓ 190.95	-36.10	0.00
✓ 15.0000	054536107	A X A ADR	09/17/2008	05/11/2009	✓ 259.45	✓ 432.30	-172.85	0.00

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2009 Tax Information Statement

Page 11 of 37

Account Number: 42328190

Recipient's Tax ID number: 43-6099972

Payer's Federal ID number: 43-6300400

☐ Corrected ☐ 2nd TIN notice

Recipient's Name and Address

LOPATA FOUNDATION

ATTN: JONI SMITH

600 MASON RIDGE DR, SUITE 100

ST LOUIS, MO 63141

Payer's Name and Address

U.S. BANK N.A. TRUST SERVICES

P O BOX 387

ST LOUIS, MO 63166

Number of shares (Box 5)	CUSIP (Box 1b)	Description (Box 7)	Date Acquired (Box 1a)	Date of Sale (Box 2)	Stocks, Bonds, etc. (Box 2)	Cost or other Basis	Net Gain or Loss	Federal Income Tax Withheld (Box 4)
✓ 41.0000	05964H105	BANCO SANTANDER CENT HISPANO A D R	09/17/2008	05/11/2009	✓ 400.98	✓ 591.92	-190.94	0.00
✓ 2.0000	06738E204	BARCLAYS PLC A D R	05/06/2009	05/11/2009	✓ 33.83	✓ 37.04	-3.21	0.00
✓ 5.0000	096813209	BOC HONG KONG HLDGS LTD A D R	09/17/2008	05/11/2009	✓ 50.25	✓ 184.00	-33.75	0.00
✓ 5.0000	110448107	BRITISH AMERN TOB PLC ADR	09/17/2008	05/11/2009	✓ 254.32	✓ 312.35	-58.03	0.00
✓ 16.0000	204412100	COMPANHIA VALE DO RIO DOCE A D R PRF	09/17/2008	05/11/2009	✓ 255.03	✓ 290.52	-35.49	0.00
✓ 1.0000	23304Y100	DBS GROUP HLDGS LTD	09/17/2008	05/11/2009	✓ 30.55	✓ 43.53	-12.98	0.00
✓ 2.0000	25030W100	DESARROLLADORA HOMEX A D R	04/14/2009	05/11/2009	✓ 43.55	✓ 44.85	-1.30	0.00
✓ 12.0000	25243Q205	DIAGEO PLC SPONSORED A D R	09/17/2008	05/11/2009	✓ 624.57	✓ 879.60	-255.03	0.00
✓ 7.0000	268780103	E.ON A G A D R	09/17/2008	05/11/2009	✓ 230.50	✓ 347.20	-116.70	0.00
✓ 16.0000	344419106	FOMENTO ECONOMICO MEX SP A D R	09/17/2008	05/11/2009	✓ 502.80	✓ 632.16	-129.36	0.00
✓ 30.0000	350258307	FOSTERS GROUP LIMITED A D R	10/30/2008	05/11/2009	✓ 111.60	✓ 116.97	-5.37	0.00
✓ 23.0000	35177Q105	FRANCE TELECOM SPSP ADR	09/17/2008	05/11/2009	✓ 516.33	✓ 652.74	-136.41	0.00
✓ 2.0000	35958N107	FUJIFILM HOLDINGS A D R	12/17/2008	05/11/2009	✓ 51.41	✓ 46.33	5.08	0.00
✓ 1.0000	37733W105	GLAXO SMITHKLINE P L C A D R	02/11/2009	05/11/2009	✓ 31.00	✓ 35.50	-4.50	0.00
✓ 9.0000	438128308	HONDA MTR LTD AMERN SHS	09/17/2008	05/11/2009	✓ 263.20	✓ 276.28	-13.08	0.00
✓ 7.0000	438580300	HONGKONG ELEC HLDGS LTD SPONSOR ADR	01/12/2009	05/11/2009	✓ 37.45	✓ 40.38	-2.93	0.00
✓ 50.0000	492051305	KEPPEL CORP LTD SPONS A D R	09/17/2008	05/11/2009	✓ 460.34	✓ 567.50	-107.16	0.00
✓ 42.0000	606822104	MITSUBISHI UFJ FINL GRP A D R	09/17/2008	05/11/2009	✓ 278.76	✓ 298.20	-19.44	0.00

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2009 Tax Information Statement

Account Number: 42328190
 Recipient's Tax ID number: 43-6099972
 Payer's Federal ID number: 43-6300400
☐ Corrected ☐ 2nd TIN notice

Recipient's Name and Address
 LOPATA FOUNDATION
 ATTN: JONI SMITH
 600 MASON RIDGE DR, SUITE 100
 ST LOUIS, MO 63141

Payer's Name and Address
 U.S. BANK N.A. TRUST SERVICES
 P O BOX 387
 ST LOUIS, MO 63166

Number of shares (Box 5)	CUSIP (Box 1b)	Description (Box 7)	Date Acquired	Date of Sale (Box 1a)	Stocks Bonds, etc. (Box 2)	Cost or other Basis	Net Gain or Loss	Federal Income Tax Withheld (Box 4)
✓ 2.0000	636274300	NATIONAL GRID PLC SP A D R	09/17/2008	05/11/2009	✓ 68.44	✓ 131.95	-43.51	0.00
✓ 10.0000	641069406	NESTLE SA SPONSORED A D R	09/17/2008	05/11/2009	✓ 353.39	✓ 434.50	-81.11	0.00
✓ 12.0000	654445303	NINTENDO LTD A D R	09/17/2008	05/11/2009	✓ 392.18	✓ 651.60	-259.42	0.00
✓ 3.0000	654624105	NIPPON TELEGRAPH TELE A D R	12/17/2008	05/11/2009	✓ 56.61	✓ 78.86	-22.25	0.00
✓ 11.0000	654902204	NOKIA CORP SPSP A D R	09/17/2008	05/11/2009	✓ 157.64	✓ 218.24	-60.60	0.00
✓ 14.0000	66987V109	NOVARTIS AG A D R	09/17/2008	05/11/2009	✓ 530.73	✓ 46.84	-216.11	0.00
✓ 15.0000	71654V101	PETROLEO BRASILEIRO SA PETROBRAS	09/17/2008	05/11/2009	✓ 475.51	✓ 507.90	-32.39	0.00
✓ 3.0000	74344G104	PROMISE CO LTD A D R	12/19/2008	05/11/2009	✓ 20.49	✓ 35.51	-15.02	0.00
✓ 4.0000	74975E303	RWE AG SPONSORED ADR	09/17/2008	05/11/2009	✓ 318.95	✓ 362.20	-43.25	0.00
✓ 6.0000	771195104	ROCHE HLDG LTD SPONSORED ADR	09/17/2008	05/11/2009	✓ 189.00	✓ 244.50	-55.50	0.00
✓ 1.0000	780641205	KONINKLIJKE (ROYAL) KPN NV SP ADR	09/17/2008	05/11/2009	✓ 12.37	✓ 15.81	-3.44	0.00
✓ 3.0000	80105N105	SANOFI AVENTIS A D R	09/17/2008	05/11/2009	✓ 387.62	✓ 433.16	-45.54	0.00
✓ 1.0000	81012K309	SCOTTISH & SOUTHN ENERGY A D R	09/17/2008	05/11/2009	✓ 118.58	✓ 177.80	-59.22	0.00
✓ 3.0000	85771P102	STATOIL ASA A D R	09/17/2008	05/11/2009	✓ 91.23	✓ 211.67	-20.44	0.00
✓ 3.0000	874060106	TAKEDA PHARMACEUTICAL CO LTD	12/19/2008	05/11/2009	✓ 57.75	✓ 75.89	-18.14	0.00
✓ 4.0000	899094108	TOKIO MARINE HOLDINGS A D R	10/21/2008	05/11/2009	✓ 122.80	✓ 135.21	-12.41	0.00
✓ 13.0000	89151E109	TOTAL S A A D R	09/17/2008	05/11/2009	✓ 17.27	✓ 813.67	-96.40	0.00
✓ 3.0000	892331307	TOYOTA MTR CORP A D R	09/17/2008	05/11/2009	✓ 230.88	✓ 257.43	-26.55	0.00

2009 Tax Information Statement

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Account Number: 42328190
 Recipient's Tax ID number: 43-6099972
 Payer's Federal ID number: 43-6300400
☐ Corrected ☐ 2nd TIN notice

Recipient's Name and Address

LOPATA FOUNDATION
 ATTN: JONI SMITH
 600 MASON RIDGE DR, SUITE 100
 ST LOUIS, MO 63141

Payer's Name and Address
 U.S. BANK N.A. TRUST SERVICES
 P O BOX 387
 ST LOUIS, MO 63166

Number of shares (Box 5)	CUSIP (Box 1b)	Description (Box 7)	Date Acquired	Date of Sale (Box 1a)	Stocks, Bonds, etc. (Box 2)	Cost or Other Basis	Net Gain or Loss	Federal Income Tax Withheld (Box 4)
✓ 28.0000	900111204	TURKCELL ILETISIM HIZMET A D R	09/17/2008	05/11/2009	✓ 357.58	✓ 676.32	-18.74	0.00
✓ 3.0000	98982M107	ZURICH FINANCIAL SERVICES A G A D R	12/04/2008	05/11/2009	✓ 55.35	✓ 59.33	-3.98	0.00
✓ 1.0000	G20045202	CENTRAL EUROPEAN MEDIA ENT A	04/14/2009	05/11/2009	✓ 20.48	✓ 17.03	3.45	0.00
✓ 1123.0000	350258307	FOSTERS GROUP LIMITED A D R	VARIOUS	05/15/2009	✓ 4,243.93	✓ 4,341.65	-97.72	0.00
✓ 841.0000	438580300	HONGKONG ELEC HLDGS LTD SPONSOR ADR	VARIOUS	05/15/2009	✓ 4,505.87	✓ 4,837.47	-331.60	0.00
✓ 153.0000	35177Q105	FRANCE TELECOM SPSP ADR	09/17/2008	07/15/2009	✓ 3,478.03	✓ 4,342.14	-864.11	0.00
✓ 101.0000	654445303	NINTENDO LTD A D R	09/17/2008	07/16/2009	✓ 3,470.27	✓ 5,484.30	-2,014.03	0.00
✓ 398.0000	74344G104	PROMISE CO LTD A D R	12/19/2008	07/31/2009	✓ 2,030.51	✓ 4,711.17	-2,680.66	0.00
✓ 143.0000	641069406	NESTLE SA SPONSORED A D R	09/17/2008	08/19/2009	✓ 5,729.89	✓ 6,213.35	-483.46	0.00
✓ 239.0000	81012K309	SCOTTISH & SOUTHN ENERGY A D R	09/17/2008	08/19/2009	✓ 4,237.86	✓ 6,070.60	-1,832.74	0.00
✓ 177.0000	874060106	TAKEDA PHARMACEUTICAL CO LTD	12/19/2008	08/19/2009	✓ 3,494.12	✓ 4,477.57	-983.45	0.00
✓ 116.0000	344419106	FOMENTO ECONOMICO MEX SP A D R	09/17/2008	08/26/2009	✓ 4,467.33	✓ 4,583.17	-115.84	0.00
✓ 81.0000	25243Q205	DIAGEO PLC SPONSORED A D R	09/17/2008	08/27/2009	✓ 4,986.09	✓ 5,937.30	-951.21	0.00
✓ 1.0000	000375204	ABB LTD A D R	09/17/2008	09/01/2009	✓ 201.64	✓ 221.83	-20.19	0.00
✓ 19.0000	007924103	AEGON N V NY REG SHR	12/16/2008	09/01/2009	✓ 34.73	✓ 26.17	8.56	0.00
✓ 5.0000	008916108	AGRIUM INC	09/17/2008	09/01/2009	✓ 232.11	✓ 390.80	-158.69	0.00
✓ 7.0000	03485P201	ANGLO AMERICAN PLC A D R	09/17/2008	09/01/2009	✓ 107.31	✓ 136.43	-29.12	0.00
✓ 4.0000	046353108	ASTRAZENECA P L C SPSP A D R	09/17/2008	09/01/2009	✓ 183.49	✓ 176.45	7.04	0.00

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2009 Tax Information Statement

Page 14 of 37

Account Number: 42328190
 Recipient's Tax ID number: 43-6099972
 Payer's Federal ID number: 43-6300400
☐ Corrected ☐ 2nd TIN notice

Recipient's Name and Address
 LOPATA FOUNDATION
 ATTN: JONI SMITH
 600 MASON RIDGE DR, SUITE 100
 ST LOUIS, MO 63141

Payer's Name and Address
 U.S. BANK N.A. TRUST SERVICES
 P O BOX 387
 ST LOUIS, MO 63166

Number of shares (Box 5)	CUSIP (Box 1b)	Description (Box 7)	Date Acquired	Date of Sale	Stocks, Bonds, etc. (Box 2)	Cost or other Basis	Net Gain or Loss	Federal Income Tax Withheld (Box 4)
✓ 10.0000	049255805	ATLAS COPCO AB A D R CL B	09/17/2008	09/01/2009	✓ 105.50	✓ 100.50	5.00	0.00
✓ 10.0000	054536107	A X A ADR	09/17/2008	09/01/2009	✓ 217.79	✓ 288.20	-70.41	0.00
✓ 16.0000	05964H105	BANCO SANTANDER CENT HISPANO A D R	09/17/2008	09/01/2009	✓ 236.95	✓ 230.99	5.96	0.00
✓ 2.0000	06738E204	BARCLAYS PLC A D R	08/21/2009	09/01/2009	✓ 46.91	✓ 46.98	-0.07	0.00
✓ 3.0000	098813209	BOC HONG KONG HLDGS LTD A D R	09/17/2008	09/01/2009	✓ 18.50	✓ 10.40	8.10	0.00
✓ 8.0000	110448107	BRITISH AMERN TOB PLC ADR	09/17/2008	09/01/2009	✓ 487.86	✓ 499.77	-11.91	0.00
✓ 2.0000	138006309	CANON INC ADR REPSTG 5 SHS	07/16/2009	09/01/2009	✓ 75.69	✓ 66.50	9.19	0.00
✓ 6.0000	23304Y100	DBS GROUP HLDGS LTD	09/17/2008	09/01/2009	✓ 208.19	✓ 261.18	-52.99	0.00
✓ 4.0000	25030W100	DESARROLLADORA HOMEX A D R	04/14/2009	09/01/2009	✓ 134.70	✓ 89.69	45.01	0.00
✓ 85.0000	25243Q205	DIAGEO PLC SPONSORED A D R	09/17/2008	09/01/2009	✓ 5,279.54	✓ 6,230.50	-950.96	0.00
✓ 3.0000	268780103	E.ON A G A D R	09/17/2008	09/01/2009	✓ 119.91	✓ 148.80	-28.89	0.00
✓ 49.0000	350258307	FOSTERS GROUP LIMITED A D R	12/16/2008	09/01/2009	✓ 213.63	✓ 183.48	30.15	0.00
✓ 2.0000	35177Q105	FRANCE TELECOM SPSP ADR	09/17/2008	09/01/2009	✓ 50.54	✓ 56.76	-6.22	0.00
✓ 5.0000	35958N107	FUJIFILM HOLDINGS A D R	12/17/2008	09/01/2009	✓ 146.90	✓ 15.82	31.08	0.00
✓ 5.0000	37733W105	GLAXO SMITHKLINE PLC A D R	02/11/2009	09/01/2009	✓ 193.20	✓ 177.52	15.68	0.00
✓ 6.0000	438128308	HONDA MTR LTD AMERN SHS	09/17/2008	09/01/2009	✓ 187.38	✓ 184.18	3.20	0.00
✓ 2.0000	46115H107	INTESA SANPAOLO A D R	05/19/2009	09/01/2009	✓ 48.90	✓ 42.88	6.02	0.00
✓ 30.0000	492051305	KEPPEL CORP LTD SPONS A D R	09/17/2008	09/01/2009	✓ 314.99	✓ 340.50	-25.51	0.00
✓ 7.0000	606822104	MITSUBISHI UFJ FINL GRP A D R	09/17/2008	09/01/2009	✓ 166.07	✓ 191.70	-25.63	0.00

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2009 Tax Information Statement

Page 15 of 37

Account Number: 42328190
 Recipient's Tax ID number: 43-6099972
 Payer's Federal ID number: 43-6300400

Recipient's Name and Address
 LOPATA FOUNDATION
 ATTN: JONI SMITH
 600 MASON RIDGE DR, SUITE 100
 ST LOUIS, MO 63141

Payer's Name and Address
 U.S. BANK N.A. TRUST SERVICES
 P O BOX 387
 ST LOUIS, MO 63166

☐ Corrected ☐ 2nd TIN notice

Number of shares (Box 5)	CUSIP (Box 1b)	Description (Box 7)	Date Acquired	Date of Sale	Stocks Bonds etc (Box 2)	Cost or other Basis	Net Gain or Loss	Federal Income Tax Withheld (Box 4)
✓ 6.0000	62474M108	MTN GROUP LTD A D R	05/05/2009	09/01/2009	✓ 95.10	✓ 84.24	10.86	0.00
✓ 8.0000	633643408	NATIONAL BANK OF GREECE A D R	08/04/2009	09/01/2009	✓ 50.72	✓ 49.55	1.17	0.00
✓ 5.0000	636274300	NATIONAL GRID PLC SP A D R	09/17/2008	09/01/2009	✓ 235.94	✓ 329.87	-93.93	0.00
✓ 2.0000	654445303	NINTENDO LTD A D R	09/17/2008	09/01/2009	✓ 66.36	✓ 108.60	-42.24	0.00
✓ 4.0000	654624105	NIPPON TELEGRAPH TELE A D R	12/17/2008	09/01/2009	✓ 87.46	✓ 105.14	-17.68	0.00
✓ 6.0000	654902204	NOKIA CORP SPSD A D R	09/17/2008	09/01/2009	✓ 79.57	✓ 119.04	-39.47	0.00
✓ 9.0000	66987V109	NOVARTIS AG A D R	09/17/2008	09/01/2009	✓ 412.29	✓ 480.11	-67.82	0.00
✓ 1.0000	71654V101	PETROLEO BRASILEIRO SA PETROBRAS	09/17/2008	09/01/2009	✓ 232.67	✓ 237.02	-4.35	0.00
✓ 3.0000	74975E303	RWE AG SPONSORED ADR	09/17/2008	09/01/2009	✓ 66.87	✓ 71.65	-4.78	0.00
✓ 4.0000	771195104	ROCHE HLDG LTD SPONSORED ADR	09/17/2008	09/01/2009	✓ 56.20	✓ 63.00	-6.80	0.00
✓ 1.0000	780641205	KONINKLUKE (ROYAL) KPN NV SP ADR	09/17/2008	09/01/2009	✓ 164.45	✓ 173.91	-9.46	0.00
✓ 6.0000	80105N105	SANOFI AVENTIS A D R	09/17/2008	09/01/2009	✓ 199.98	✓ 199.92	0.06	0.00
✓ 4.0000	85771P102	STATOIL ASA A D R	09/17/2008	09/01/2009	✓ 85.32	✓ 94.07	-8.75	0.00
✓ 2.0000	859737207	STERLITE INDS INDIA A D S	08/27/2009	09/01/2009	✓ 25.84	✓ 27.93	-2.09	0.00
✓ 4.0000	879382208	TELEFONICA SA SPON A D R	09/17/2008	09/01/2009	✓ 295.55	✓ 290.36	5.19	0.00
✓ 8.0000	889094108	TOKIO MARINE HOLDINGS A D R	10/21/2008	09/01/2009	✓ 235.99	✓ 270.41	-34.42	0.00
✓ 7.0000	89151E109	TOTAL SA A D R	09/17/2008	09/01/2009	✓ 390.45	✓ 438.13	-47.68	0.00
✓ 2.0000	892331307	TOYOTA MTR CORP A D R	09/17/2008	09/01/2009	✓ 169.06	✓ 171.62	-2.56	0.00
✓ 16.0000	900111204	TURKCELL ILETISIM HIZMET A D R	09/17/2008	09/01/2009	✓ 252.79	✓ 215.04	37.75	0.00

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2009 Tax Information Statement

Page 16 of 37

Account Number: 42328190
 Recipient's Tax ID number: 43-6099972
 Payer's Federal ID number: 43-6300400
☐ Corrected ☐ 2nd TIN notice

Recipient's Name and Address
 LOPATA FOUNDATION
 ATTN: JONI SMITH
 600 MASON RIDGE DR, SUITE 100
 ST LOUIS, MO 63141

Payer's Name and Address
 U.S. BANK N.A. TRUST SERVICES
 P O BOX 387
 ST LOUIS, MO 63166

Number of shares (Box 5)	CUSIP (Box 1b)	Description (Box 7)	Date Acquired	Date of Sale (Box 1a)	Stocks, Bonds, etc. (Box 2)	Cost or other Basis	Net Gain or Loss	Federal Income Tax Withheld (Box 4)
✓ 8.0000	904767704	UNILEVER PLC SPSD ADR	10/08/2008	09/01/2009	✓ 114.58	✓ 207.55	7.03	0.00
✓ 9.0000	91912E204	VALE SA SP A D R	09/17/2008	09/01/2009	✓ 153.45	✓ 163.42	-9.97	0.00
✓ 8.0000	98982M107	ZURICH FINANCIAL SERVICES A G A D R	12/04/2008	09/01/2009	✓ 106.15	✓ 98.88	7.27	0.00
✓ 2.0000	G20045202	CENTRAL EUROPEAN MEDIA ENT A	04/14/2009	09/01/2009	✓ 54.97	✓ 34.07	20.90	0.00
✓ 16.0000	25243Q205	DIAGEO PLC SPONSORED A D R	09/17/2008	09/10/2009	✓ 4,779.76	✓ 5,570.80	-791.04	0.00
✓ 1121.0000	350258307	FOSTERS GROUP LIMITED A D R	VARIOUS	09/11/2009	✓ 5,271.59	✓ 4,191.61	1,079.98	0.00
✓ 169.0000	654624105	NIPPON TELEGRAPH TELE A D R	12/17/2008	10/15/2009	✓ 3,604.76	✓ 4,442.27	-837.51	0.00
✓ 373.0000	83364L109R	SOCIETE GENERALE FRANCE SPONSOR ADR RIGHTS	11/13/2009		296.34	0.00	296.34	0.00
✓ 1132.0000	007924103	AEGON N V NY REG SHR	VARIOUS	12/10/2009	✓ 440.56	✓ 1,003.49	437.07	0.00
✓ 294.0000	859737207	STERILITE INDS INDIA A D S	VARIOUS	12/10/2009	✓ 5,252.96	✓ 3,466.18	1,786.78	0.00
Total Short Term Sales Reported on 1099-B								0.00
								121,583.86
								157,946.54
								-36,362.68
Long Term 15% Sales Reported on 1099-B								0.00
1.0000	110122108L	BRISTOL-MYERS SQUIBB CO SECURITY LITIGATION	11/11/1931	02/03/2009	922.13		922.13	0.00
1.0000	H89128104L	TYCO INTERNATIONAL LTD SECURITY LITIGATION	11/11/1931	03/18/2009	5,124.15		5,124.15	0.00
1.0000	749121109L	QWEST COMMUNICATIONS INTL INC SECURITY LITIGATION	11/11/1931	03/25/2009	33.45		33.45	0.00
2000.0000	02364W105	AMERICA MOVIL S A DE C V A D R	06/01/2007	04/22/2009	61,579.28	123,317.80	-61,738.52	0.00

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

2009 Tax Information Statement

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Account Number: 42328190
 Recipient's Tax ID number: 43-6099972
 Payer's Federal ID number: 43-6300400
☐ Corrected ☐ 2nd TIN notice

Recipient's Name and Address
 LOPATA FOUNDATION
 ATTN: JONI SMITH
 600 MASON RIDGE DR, SUITE 100
 ST LOUIS, MO 63141

Payer's Name and Address
 U.S. BANK N.A. TRUST SERVICES
 P O BOX 387
 ST LOUIS, MO 63166

Number of shares (Box 5)	CUSIP (Box 1b)	Description (Box 7)	Date Acquired	Date of Sale (Box 1a)	Stocks, Bonds, etc. (Box 2)	Cost or other Basis	Net Gain or Loss	Federal Income Tax Withheld (Box 4)
✓ 1500.0000	260543103	DOW CHEM CO	07/14/2005	04/22/2009	✓ 32,226.41	✓ 118,225.00	-85,998.59	0.00
1.0000	026874107L	AIG 2008 SECURITIES LITIGATION	11/11/1931	06/24/2009	Ⓡ 1,880.93		1,880.93	0.00
✓ 1000.0000	478160104	JOHNSON & JOHNSON	VARIOUS	07/13/2009	✓ 56,818.54	54,639.96	2,178.58	0.00
✓ 1000.0000	718172109	PHILIP MORRIS INTL	01/19/2000	07/13/2009	✓ 42,568.90	✓ 12,123.23	30,445.67	0.00
✓ 5055.6120	77956H823	T ROWE PRICE INTL STOCK FUND ADV CL	VARIOUS	07/13/2009	✓ 50,000.00	✓ 85,440.40	-35,440.40	0.00
✓ 500.0000	002824100	ABBOTT LABORATORIES	12/20/2005	08/17/2009	✓ 22,399.47	✓ 20,158.03	2,241.44	0.00
✓ 2000.0000	060505104	BANK OF AMERICA CORP	02/01/2007	08/17/2009	✓ 33,360.94	✓ 65,680.00	-72,319.06	0.00
✓ 500.0000	302182100	EXPRESS SCRIPTS INC CL A	12/12/2003	08/17/2009	✓ 33,811.83	✓ 950.46	25,861.37	0.00
✓ 1500.0000	369604103	GENERAL ELEC CO	01/19/2000	08/17/2009	✓ 9,906.73	✓ 4,296.87	-54,390.14	0.00
✓ 500.0000	713448108	PEPSICO INC	09/09/2002	08/17/2009	✓ 27,964.33	✓ 9,399.20	8,565.13	0.00
✓ 2000.0000	88579Y101	3M CO	VARIOUS	08/17/2009	✓ 140,026.90	✓ 51,459.78	-11,432.88	0.00
1.0000	91529Y106L	UNIMPROVIDENT CORP SECURITIES LITIGATION	11/11/1931	08/31/2009	Ⓡ 877.95		877.95	0.00
✓ 258.0000	654445303	NINTENDO LTD A D R	09/17/2008	09/22/2009	✓ 8,450.47	✓ 14,009.40	-5,558.93	0.00
✓ 157.0000	80105N105	SANOFLAVENTIS A D R	09/17/2008	09/22/2009	✓ 5,943.90	✓ 5,231.24	712.66	0.00
✓ 298.0000	654902204	NOKIA CORP SPSD A D R	09/17/2008	10/15/2009	✓ 4,044.53	✓ 9,123.32	-1,867.79	0.00
✓ 04.0000	636274300	NATIONAL GRID PLC SP A D R	09/17/2008	11/10/2009	✓ 5,389.61	✓ 6,861.30	-1,471.69	0.00
✓ 500.0000	278058102	EATON CORP	03/18/2008	11/11/2009	✓ 97,726.98	✓ 25,378.40	-27,651.42	0.00
✓ 2000.0000	369604103	GENERAL ELEC CO	VARIOUS	11/11/2009	✓ 81,600.98	✓ 4,002.00	-52,401.02	0.00

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2009 Tax Information Statement

Page 18 of 37

Account Number: 42328190
 Recipient's Tax ID number: 43-6099972
 Payer's Federal ID number: 43-6300400
☐ Corrected ☐ 2nd TIN notice

Recipient's Name and Address
 LOPATA FOUNDATION
 ATTN: JONI SMITH
 600 MASON RIDGE DR, SUITE 100
 ST LOUIS, MO 63141

Payer's Name and Address
 U.S. BANK N.A. TRUST SERVICES
 P O BOX 387
 ST LOUIS, MO 63166

Number of shares (Box 5)	CUSIP (Box 1b)	Description (Box 7)	Date Acquired	Date of Sale (Box 1a)	Stocks, Bonds, etc. (Box 2)	Cost or other Basis	Net Gain or Loss	Federal Income Tax Withheld (Box 4)
2500.0000	92220P105	VARIAN MED SYS INC	06/17/2005	11/11/2009	112,706.47	95,210.00	17,496.47	0.00
500.0000	98956P102	ZIMMER HOLDINGS INC	03/18/2008	11/11/2009	14,846.31	14,848.22	-32,001.91	0.00
31612.2230	318929783	FIRST AMER HIGH INCOME BOND FD CL Y	11/01/2006	12/04/2009	260,484.72	300,000.00	-39,515.28	0.00
423.0000	054536107R	AXA S.A. SALE OF ADR RIGHTS		12/09/2009	236.76	0.00	236.76	0.00
219.0000	35177Q105	FRANCE TELECOM SPSD ADR	09/17/2008	12/10/2009	5,592.64	6,215.22	-622.58	0.00
1.0000	91324P102L	UNITED HEALTH GROUP INC SECURITIES LITIGATION	11/11/1931	12/24/2009	85.37		85.37	0.00
Total Long Term 15% Sales Reported on 1099-B					1,144,610.68	1,530,358.83	-385,748.15	0.00

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

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Application for Extension of Time To File an Exempt Organization Return

OMB No. 1545-1709

► File a separate application for each return.

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒
 - If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form).
- Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868.**

Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed)

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

Electronic Filing (e-file). Generally, you can electronically file Form 8868 if you want a 3-month automatic extension of time to file one of the returns noted below (6 months for a corporation required to file Form 990-T). However, you cannot file Form 8868 electronically if (1) you want the additional (not automatic) 3-month extension or (2) you file Forms 990-BL, 6069, or 8870, group returns, or a composite or consolidated Form 990-T. Instead, you must submit the fully completed and signed page 2 (Part II) of Form 8868. For more details on the electronic filing of this form, visit www.irs.gov/efile and click on *e-file for Charities & Nonprofits*.

Type or print File by the due date for filing your return. See instructions.	Name of Exempt Organization STANLEY & LUCY LOPATA FOUNDATION C/O LOPATA, FLEGEL & CO LLP	Employer identification number 43-6099972
	Number, street, and room or suite no. If a P.O. box, see instructions. 600 MASON RIDGE CENTER DRIVE, NO. 100	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. ST. LOUIS, MO 63141	

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

- | | | |
|---|---|------------------------------------|
| <input type="checkbox"/> Form 990 | <input type="checkbox"/> Form 990-T (corporation) | <input type="checkbox"/> Form 4720 |
| <input type="checkbox"/> Form 990-BL | <input type="checkbox"/> Form 990-T (sec. 401(a) or 408(a) trust) | <input type="checkbox"/> Form 5227 |
| <input type="checkbox"/> Form 990-EZ | <input type="checkbox"/> Form 990-T (trust other than above) | <input type="checkbox"/> Form 6069 |
| <input checked="" type="checkbox"/> Form 990-PF | <input type="checkbox"/> Form 1041-A | <input type="checkbox"/> Form 8870 |

JONI SMITH - 600 MASON RIDGE CENTER DR., SUITE 100 - ST.

- The books are in the care of ► **LOUIS, MO 63141**
Telephone No. ► **314-514-8881** FAX No. ► **314-514-8872**
- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____. If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension will cover.

- 1 I request an automatic 3-month (6-months for a corporation required to file Form 990-T) extension of time until **AUGUST 15, 2010**, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
► ☒ calendar year **2009** or
► ☐ tax year beginning _____, and ending _____.

- 2 If this tax year is for less than 12 months, check reason. ☐ Initial return ☐ Final return ☐ Change in accounting period

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	6,000.
b If this application is for Form 990-PF or 990-T, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	2,500.
c Balance Due. Subtract line 3b from line 3a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	3,500.

Caution. If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions

LHA For Privacy Act and Paperwork Reduction Act Notice, see Instructions.

Form **8868** (Rev. 4-2009)