Form **990-PF**

Department of the Treasury
Internal Revenue Service (77)

Return of Private Foundation
or Section 4947(a)(1) Nonexempt Charitable Trust Treated as a Private Foundation

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

OMB No 1545-0052

2009

For calendar year 2009, or tax year beginning , 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: Roth Family Foundation

Number and street (or P O box number if mail is not delivered to street address): 12021 Wilshire Boulevard — Room/suite: 505

City or town, state, and ZIP code: Los Angeles CA 90025

A Employer identification number: 88-0352682

B Telephone number (see page 10 of the instructions): 310-264-2569

C If exemption application is pending, check here ▶ ☐

D 1. Foreign organizations, check here ▶ ☐

2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

H Check type of organization: ☒ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶ $ 9,571,546

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

Part I **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions))*

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check ▶ ☒ if the foundation is **not** required to attach Sch B				
	3 Interest on savings and temporary cash investments	566	566	566	
	4 Dividends and interest from securities	425,782	425,782	425,782	
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	275,852			
	b Gross sales price for all assets on line 6a 663,889				
	7 Capital gain net income (from Part IV, line 2)		275,852		
	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) (attach schedule)				
	11 Other income (attach schedule)				
	12 **Total.** Add lines 1 through 11	702,200	702,200	426,348	
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	56,650			56,650
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits	9,469			9,469
	16a Legal fees (attach schedule)	185			185
	b Accounting fees (attach schedule)	2,200	880		1,320
	c Other professional fees (attach schedule)	5,915	2,265		3,650
	17 Interest				
	18 Taxes (attach schedule) (see page 14 of the instructions)	2,521	2,521		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy	6,001			6,001
	21 Travel, conferences, and meetings	1,941			1,941
	22 Printing and publications				
	23 Other expenses (attach schedule)	7,349	1,740		5,609
	24 **Total operating and administrative expenses.** Add lines 13 through 23	92,231	7,406		84,825
	25 Contributions, gifts, grants paid	322,505			322,505
	26 **Total expenses and disbursements.** Add lines 24 and 25	414,736	7,406		407,330
	27 Subtract line 26 from line 12:				
	a **Excess of revenue over expenses and disbursements**	287,464			
	b **Net investment income** (if negative, enter -0-)		694,794		
	c **Adjusted net income** (if negative, enter -0-)			426,348	

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

			Beginning of year (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets	1	Cash—non-interest-bearing	21,491	14,532	14,532
	2	Savings and temporary cash investments	361,826	372,137	375,137
	3	Accounts receivable ▶			
		Less. allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10 a	Investments—U S and state government obligations (attach schedule)	9,385		
	b	Investments—corporate stock (attach schedule)	2,600,802	2,597,650	8,629,231
	c	Investments—corporate bonds (attach schedule)	190,000	552,673	552,646
	11	Investments—land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	66,024		
	14	Land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	3,249,528	3,536,992	9,571,546
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)			
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ [X] and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted	3,249,528	3,536,992	
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ [ ] and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	**Total net assets or fund balances** (see page 17 of the instructions)	3,249,528	3,536,992	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	3,249,528	3,536,992	

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	3,249,528
2	Enter amount from Part I, line 27a	2	287,464
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	3,536,992
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	3,536,992

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	Publicly traded securities	P	Various	Various
b	Capital gain distributions			
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	662,765		388,037	274,728
b	1,124			1,124
c				
d				
e				

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

	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a				274,728
b				1,124
c				
d				
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	275,852
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions) If (loss), enter -0- in Part I, line 8	3	10,522

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

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

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

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

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

1 Enter the appropriate amount in each column for each year; see page 18 of the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2008	74,389	8,656,593	0.008593
2007	639,407	12,671,318	0.050461
2006	758,325	15,230,875	0.049789
2005	872,323	13,492,242	0.064654
2004	570,811	12,953,341	0 044067

2	**Total** of line 1, column (d)	2	0 217564
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.043513
4	Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	8,161,653
5	Multiply line 4 by line 3	5	355,138
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	6,948
7	Add lines 5 and 6	7	362,086
8	Enter qualifying distributions from Part XII, line 4	8	407,330

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions on page 18.

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

1 a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ 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 ▶ [X] and enter 1% of Part I, line 27b	1	6,948
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	2	
3	Add lines 1 and 2	3	6,948
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	4	
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-	5	6,948
6	Credits/Payments:		
a	2009 estimated tax payments and 2008 overpayment credited to 2009 — 6a: 6,948		
b	Exempt foreign organizations—tax withheld at source — 6b		
c	Tax paid with application for extension of time to file (Form 8868) — 6c		
d	Backup withholding erroneously withheld — 6d		
7	Total credits and payments Add lines 6a through 6d	7	6,948
8	Enter any **penalty** for underpayment of estimated tax Check here [X] if Form 2220 is attached	8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	
11	Enter the amount of line 10 to be **Credited to 2010 estimated tax** ▶ | **Refunded** ▶	11	

Part VII-A Statements Regarding Activities

			Yes	No
1 a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?	1b		X
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ________ **(2)** On foundation managers ▶ $ ________			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ ________			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	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
4 a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b	N/A	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *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	
8 a	Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) ▶ CA			
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 on page 27)? *If "Yes," complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		X

Part VII-A Statements Regarding Activities *(continued)*

		Line	Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see page 20 of the instructions)	11		X
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶

14 The books are in care of ▶ Sukey Garcetti Telephone no ▶ 310-471-4441

Located at ▶ 12021 Wilshire Boulevard Los Angeles CA ZIP+4 ▶ 90025

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 |

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

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

			Line	Yes	No
1a	During the year did the foundation (either directly or indirectly):				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☒ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? **(Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days)	☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?		1b		X
	Organizations relying on a current notice regarding disaster assistance check here	▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?		1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):				
a	At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009?	☐ Yes ☒ No			
	If "Yes," list the years ▶ 20_____ , 20_____ , 20_____ , 20_____				
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see page 20 of the instructions)		2b	N/A	
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ 20_____ , 20_____ , 20_____ , 20_____				
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2009 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969; **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009)*		3b	N/A	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009?		4b		X

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

5a During the year did the foundation pay or incur any amount to:			
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	☐ Yes ☒ No		
(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	☐ Yes ☒ No		
(3) Provide a grant to an individual for travel, study, or other similar purposes?	☐ Yes ☒ No		
(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see page 22 of the instructions)	☐ Yes ☒ No		
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	☐ Yes ☒ No		
b If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see page 22 of the instructions)?		**5b**	N/A
Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? *If "Yes," attach the statement required by Regulations section 53 4945–5(d)*	☐ Yes ☐ No		
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? *If "Yes" to 6b, file Form 8870*		**6b**	No: X
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	☐ Yes ☒ No		
b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?		**7b**	

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

1 List all officers, directors, trustees, foundation managers and their compensation (see page 22 of the instructions).

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation (**If not paid, enter -0-**)	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
Statement #4	Director	56,650		

2 Compensation of five highest-paid employees (other than those included on line 1—see page 23 of the instructions). If none, enter "NONE."

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

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

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

3 Five highest-paid independent contractors for professional services (see page 23 of the instructions). If none, enter "NONE."

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

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

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

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

Part IX-B **Summary of Program-Related Investments** (see page 24 of the instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments See page 24 of the instructions 3	
Total. Add lines 1 through 3 ▶	

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see page 24 of the instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities	1a	8,133,309
b	Average of monthly cash balances	1b	152,633
c	Fair market value of all other assets (see page 24 of the instructions)	1c	
d	**Total** (add lines 1a, b, and c)	1d	8,285,942
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	8,285,942
4	Cash deemed held for charitable activities Enter 1½ % of line 3 (for greater amount, see page 25 of the instructions)	4	124,289
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	8,161,653
6	**Minimum investment return.** Enter 5% of line 5	6	408,083

Part XI Distributable Amount (see page 25 of the instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ▶ ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6			1	408,083
2a	Tax on investment income for 2009 from Part VI, line 5	2a	6,948		
b	Income tax for 2009 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	6,948
3	Distributable amount before adjustments Subtract line 2c from line 1			3	401,135
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	401,135
6	Deduction from distributable amount (see page 25 of the instructions)			6	
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1			7	401,135

Part XII Qualifying Distributions (see page 25 of the instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26	1a	407,330
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	407,330
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see page 26 of the instructions)	5	6,948
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	400,382

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years

Part XIII Undistributed Income (see page 26 of the instructions)

		(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7					401,135
2 Undistributed income, if any, as of the end of 2009					
a Enter amount for 2008 only					
b Total for prior years 20____, 20____, 20____					
3 Excess distributions carryover, if any, to 2009.					
a From 2004					
b From 2005					
c From 2006	14,309				
d From 2007	19,770				
e From 2008	4,374				
f **Total** of lines 3a through e		38,453			
4 Qualifying distributions for 2009 from Part XII, line 4 ▶ $ 407,330					
a Applied to 2008, but not more than line 2a					
b Applied to undistributed income of prior years (Election required—see page 26 of the instructions)					
c Treated as distributions out of corpus (Election required—see page 26 of the instructions)					
d Applied to 2009 distributable amount					401,135
e Remaining amount distributed out of corpus		6,195			
5 Excess distributions carryover applied to 2009 *(If an amount appears in column (d), the same amount must be shown in column (a))*					
6 **Enter the net total of each column as indicated below:**					
a Corpus Add lines 3f, 4c, and 4e Subtract line 5		44,648			
b Prior years' undistributed income Subtract line 4b from line 2b					
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed					
d Subtract line 6c from line 6b Taxable amount—see page 27 of the instructions					
e Undistributed income for 2008. Subtract line 4a from line 2a Taxable amount—see page 27 of the instructions					
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1 This amount must be distributed in 2010					
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions)					
8 Excess distributions carryover from 2004 not applied on line 5 or line 7 (see page 27 of the instructions)					
9 **Excess distributions carryover to 2010.** Subtract lines 7 and 8 from line 6a		44,648			
10 Analysis of line 9.					
a Excess from 2005					
b Excess from 2006	14,309				
c Excess from 2007	19,770				
d Excess from 2008	4,374				
e Excess from 2009	6,195				

Part XIV Private Operating Foundations (see page 27 of the instructions and Part VII-A, question 9) N/A

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

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

	Tax year	Prior 3 years			
	(a) 2009	(b) 2008	(c) 2007	(d) 2006	(e) Total
2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon. a "Assets" alternative test—enter. (1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test—enter (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation had $5,000 or more in assets at any time during the year—see page 28 of the instructions.)

1 **Information Regarding Foundation Managers:**

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

None

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.

None

2 **Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**

Check here ▶ [X] if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see page 28 of the instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d

a The name, address, and telephone number of the person to whom applications should be addressed

b The form in which applications should be submitted and information and materials they should include

c Any submission deadlines

d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
See listing attached	None	Public	See attached	322,505
Total			▶ 3a	322,505
b *Approved for future payment*				
Total			▶ 3b	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

	Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	Related or exempt function income (See page 28 of the instructions)
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	566	
4 Dividends and interest from securities			14	425,782	
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	275,852	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)				702,200	

13 **Total.** Add line 12, columns (b), (d), and (e) 13 702,200

(See worksheet in line 13 instructions on page 28 to verify calculations.)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See page 28 of the instructions.)

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

			Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of:			
	(1) Cash	1a(1)		X
	(2) Other assets	1a(2)		X
b	Other transactions:			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

d If the answer to any of the above is "Yes," complete the following schedule. Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received.

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements

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

Sign Here

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

Signature of officer or trustee — Date 3/31/10 — Title Sec/Treas

Paid Preparer's Use Only

Preparer's signature	Date 2/12/2010	Check if self-employed ☒	Preparer's identifying number (see Signature on page 30 of the instructions) P00009906
Firm's name (or yours if self-employed), address, and ZIP code	Howard J. Levine C.P.A. 16600 Sherman Way #280, Van Nuys, CA 91406	EIN 95-3535569 Phone no (818)994-5562

Name as shown on return	ID number
Roth Family Foundation	88-0352682

STATEMENT #1 - TAXES

Foreign excise taxes withheld	2,521
TOTAL TAXES	2,521

STATEMENT #2 - OTHER EXPENSES

Bank charges	55
Dues and publications	1,835
Filing fees	125
Insurance	2,250
Office supplies	1,766
Postage	538
Telephone	780
TOTAL OTHER EXPENSES	7,349

STATEMENT #3 - OFFICERS AND DIRECTORS

	Title and Hours/week	Compensation	Benefit Plans	Expenses
Michael P Roth 12021 Wilshire Boulevard Los Angeles, CA	President - 1 hour/week			
Sukey Garcetti 12021 Wilshire Boulevard Los Angeles, CA	Sec/Treas 20 hours/week			
Gil Garcetti 12021 Wilshire Boulevard Los Angeles, CA	Director - 1 hour/week			
Dana Garcetti 12021 Wilshire Boulevard Los Angeles, CA	Director - 1 hour/week			
Eric Garcetti 12021 Wilshire Boulevard Los Angeles, CA	Director - 1 hour/week			
Andrea Roth 12021 Wilshire Boulevard Los Angeles, CA	Director - 1 hour/week			
Sarah Roth 12021 Wilshire Boulevard Los Angeles, CA	Director - 1 hour/week			
Rachel Roth 12021 Wilshire Boulevard Los Angeles, CA	Director - 30 hours/week	56,650	1,700	

Roth Family Foundation
Security Detail
December 31, 2009

Quantity	Description	Cost	Market Value
Bonds:			
23,406	Pimco Total Return Fund	252,573	252,784
28,183	Vanguard GNMA Fund	300,100	299,862
	Total bonds	552,673	552,646
Stocks:			
41,236	A T & T Inc. New	139,013	1,155,845
5,333	Allete Inc.	29,917	174,282
2,400	Amer. Electric Power Co.	24,331	83,496
3,000	Arch Chemicals, Inc.	18,800	92,640
32,560	Bank of America Corp.	64,131	490,354
2,000	Bristol-Myers Squibb Co.	31,527	50,500
4,500	Caterpillar Inc.	124,518	256,455
363	CenturyTel Inc.	897	13,144
1,200	Coca Cola Company	23,777	68,400
1,000	Consolidated Edison, Inc	28,179	45,430
21,770	Dominion Res. Inc.	129,746	847,289
2,224	Duke Energy Corp. New	23,783	38,275
7,500	Enerplus Res. Fund	295,432	172,200
2,000	Exxon Mobil Corp.	35,566	136,380
48,000	General Electric Co	46,267	726,240
6,000	Great Plains Energy	46,433	116,340
8,000	Hancock John Investrs	153,120	146,160
4,000	ITT Corporation	9,129	198,960
1,600	Idacorp Incorporated	25,497	51,120
2,475	Integrys Energy	31,223	103,925
8,000	Intel Corp.	58,470	163,200
4,500	Johnson & Johnson	122,184	135,261
5,000	Kraft Foods	133,459	135,900
1,200	Merck & Co. Inc	32,260	43,848
9,600	Microsoft Corp	52,803	292,608
6,000	Nisource, Inc.	42,288	92,280
4,000	OGE Energy	28,356	147,560
6,000	Olin Corp.	30,966	105,120
2,340	Proctor & Gamble	51,077	141,874
4,000	Scana Corporation New	27,853	150,720
1,112	Spectra Energy	17,171	22,807
5,307	Sprint Nextel Corp.	9,327	19,424
12,000	Teco Energy, Inc.	50,741	194,640
2,884	Telecom NZ	68,701	25,568
10,662	Vectren Corp.	34,761	263,138
23,304	Verizon Communications	152,808	772,061
8,785	Vodafone Group	24,896	202,846
4,000	Westar Energy	34,974	86,880
8,835	Xcel Energy Inc.	68,261	187,479
1,500	Federal Rlty. Invt.	34,826	101,580
4,000	HCP Inc.	35,463	122,160
5,000	HRPT Properties	57,813	32,350
1,335	Rayonier, Inc.	4,441	56,284
3,000	Senior Housing Properties	40,446	65,610
620	Vornado Realty Trust	31,119	43,363
1,000	Wash. Real Estate	26,230	27,550
1,500	Weingarten Realty Trust	44,670	29,685
	Total stocks	2,597,650	8,629,231
	Total investments	3,150,323	9,181,877

FISCAL YEAR 2009

ROTH FAMILY FOUNDATION
GRANTS 1/01/09 - 12/31/09

Organization	City	State	Project	Grant Amount
826LA	Venice	CA	General Operating Support	$ 1,000
Association of Small Foundations	Washington	DC	General Operating Support	$ 505
Bellingham Festival of Music	Bellingham	WA	Festival Support	$ 2,500
Boyle Heights Learning Collaborative	Los Angeles	CA	General Operating Support & SOS Program	$ 15,000
California Institute of the Arts	Valencia	CA	CAP Piano Program @ Watts Towers Arts Ctr.	$ 5,000
California Latinas for Reproductive Justice	Los Angeles	CA	General Operating Support	$ 10,000
Children's Nature Institute	Beverly Hills	CA	Outreach Discovery Program	$ 10,000
The Colburn School	Los Angeles	CA	Scholarship Support	$ 500
Community Partners	Los Angeles	CA	InnerCity Struggle	$ 10,000
Education Through Music-Los Angeles	Los Angeles	CA	General Operating Support	$ 10,000
The Foundation Center	New York	NY	General Operating Support	$ 250
Franklin School PTA	Santa Monica	CA	General Operating Support	$ 1,000
The Gabriella Axelrad Education Foundation	Los Angeles	CA	General Operating Support	$ 1,000
The Gabriella Axelrad Education Foundation	Los Angeles	CA	General Operating Support	$ 500
Garment Worker Center	Los Angeles	CA	General Operating Support	$ 12,500
Girls and Gangs	Los Angeles	CA	General Operating Support	$ 5,000
Health & Development International	Oak Park	IL	Obstetric Fistula Elimination Program	$ 5,000
Heart of LA	Los Angeles	CA	Music Education Program	$ 7,500
Homeboy Industries	Los Angeles	CA	General Operating Support	$ 10,000
International Medical Corps	Santa Monica	CA	Midwifery Program in Afghanistan	$ 4,000
Jane Goodall Institute	Arlington	VA	Chimpanzee Conservation & Sensitization Program	$ 2,500
Jewish Family Service of Los Angeles	Los Angeles	CA	SOVA Pantry	$ 1,000
Just Detention International	Los Angeles	CA	General Operating Support	$ 2,000
KCET	Los Angeles	CA	General Operating Support	$ 500
KCRW	Santa Monica	CA	General Operating Support	$ 5,000
LA Alliance for a New Economy	Los Angeles	CA	General Operating Support	$ 12,500
LA Alliance for a New Economy	Los Angeles	CA	General Operating Support	$ 1,000
LA County Bicycle Coalition	Los Angeles	CA	General Operating Support	$ 500
LA Education Partnership	Los Angeles	CA	San Fernando Neighborhood Partnership	$ 10,000
LA Neighborhood Land Trust	Los Angeles	CA	General Operating Support	$ 10,000
Liberty Hill Foundation	Santa Monica	CA	KMG DA FUND	$ 5,000
Liberty Hill Foundation	Santa Monica	CA	General Operating Support	$ 2,000
The Madison Project Foundation	Santa Monica	CA	The Broad Stage	$ 1,000
Medical Students for Choice	Philadelphia	PA	Scholarships for Health Externships	$ 10,000
National Building Museum	Washington	DC	General Operating Support	$ 1,000
National Center for Family Philanthropy	Washington	DC	General Operating Support	$ 1,000
National Public Radio	Washington	DC	NPR News Programming/NPR West	$ 25,000
Neighborhood Music School Association	Los Angeles	CA	Scholarship Fund	$ 250
Pacoima Beautiful	Pacoima	CA	Youth Environmentalist Program	$ 7,500
Partners in Health	Boston	MA	General Operating Support	$ 750
PhilanthroProductions, Inc.	Los Angeles	CA	General Operating Support	$ 1,000
Planned Parenthood Los Angeles	Los Angeles	CA	General Operating Support	$ 15,000
Proyecto Pastoral	Los Angeles	CA	General Operating Support	$ 5,000
Rain for the Sahel and Sahara	Newmarket	NH	General Operating Support	$ 5,000
Reed College	Portland	OR	Scholarship Fund	$ 500
Silverlake Conservatory of Music	Los Angeles	CA	Scholarship Program	$ 7,500
Slow Food USA	Brooklyn	NY	General Operating Support	$ 1,000
Southern CA Public Radio	Los Angeles	CA	Capital Campaign	$ 25,000
STAR, Inc.	Culver City	CA	STAR ECO Station	$ 1,000

Sustainable Economic Enterprises of LA	Los Angeles	CA	General Operating Support	$ 10,000
Taking the Reins	Los Angeles	CA	General Operating Support	$ 5,000
TreePeople	Beverly Hills	CA	General Operating Support	$ 1,000
UC Press	Berkeley	CA	American Musical Comedy Imprint Fund	$ 500
UCLA Foundation	Los Angeles	CA	Chancellor's Associates	$ 1,250
UCLA Foundation	Los Angeles	CA	Chancellor's Associates	$ 1,250
UCLA Foundation	Los Angeles	CA	UCLA Library, Dept. of Special Collections	$ 1,500
United Cerebral Palsy	Woodland Hills	CA	General Operating Support	$ 500
USC Center on Philanthropy & Public Policy	Los Angeles	CA	General Operating Support	$ 500
Women's Reproductive Rights Assistance Project	Los Angeles	CA	Program Support	$ 10,000
Water for Our World	Phoenix	AZ	General Operating Support	$ 250
World Vision	Monrovia	CA	Niger Rural Water Project	$ 20,000

TOTAL GRANTS: $322,505
TOTAL # OF GRANTS: 61