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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 JUL 1, 2009, and ending JUN 30, 2010

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 <b>THE SPERRY FUND</b>		A Employer identification number <b>13-6114308</b>
	Number and street (or P O box number if mail is not delivered to street address) <b>99 PARK AVENUE</b>		B Telephone number <b>(212) 370-1144</b>
	City or town, state, and ZIP code <b>NEW YORK, NY 10016</b>		C If exemption application is pending, check here <input type="checkbox"/>
			D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation			E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ <b>15,251,705.</b>		J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	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			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	451.	451.		STATEMENT 1
	4 Dividends and interest from securities	236,168.	236,168.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	-222,494.			
	b Gross sales price for all assets on line 6a	128,573.			
	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	-163,254.	-160,005.		STATEMENT 3	
12 Total. Add lines 1 through 11	-149,129.	76,614.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	4,000.	0.		4,000.
	14 Other employee salaries and wages	12,496.	0.		12,496.
	15 Pension plans, employee benefits	3,694.	0.		3,694.
	16a Legal fees				
	b Accounting fees	STMT 4 11,270.	11,270.		0.
	c Other professional fees	STMT 5 68,968.	0.		68,968.
	17 Interest				
	18 Taxes	STMT 6 250.	0.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses	STMT 7 58,609.	48,870.		8,714.
	24 Total operating and administrative expenses. Add lines 13 through 23	159,287.	60,140.		97,872.
	25 Contributions, gifts, grants paid	827,120.			827,120.
26 Total expenses and disbursements. Add lines 24 and 25	986,407.	60,140.		924,992.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-1,135,536.				
b Net investment income (if negative, enter -0-)		16,474.			
c Adjusted net income (if negative, enter -0-)			N/A		

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	24,134.	15,774.	15,774.
	2 Savings and temporary cash investments	569,452.	588,699.	588,699.
	3 Accounts receivable ▶ Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶ Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶ Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock			
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶ Less: accumulated depreciation ▶			
	12 Investments - mortgage loans			
Liabilities	13 Investments - other STMT 9	14,006,588.	14,647,232.	14,647,232.
	14 Land, buildings, and equipment basis ▶ Less: accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers)	14,600,174.	15,251,705.	15,251,705.
	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 ▶)			
Net Assets or Fund Balances	23 Total liabilities (add lines 17 through 22)	0.	0.	
	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted	14,600,174.	15,251,705.	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> 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	14,600,174.	15,251,705.	
	30 Total net assets or fund balances			
	31 Total liabilities and net assets/fund balances	14,600,174.	15,251,705.	

## 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 14,600,174.
2 Enter amount from Part I, line 27a	2 -1,135,536.
3 Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 8	3 1,787,067.
4 Add lines 1, 2, and 3	4 15,251,705.
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 15,251,705.

**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			
b SEE ATTACHED STATEMENT			
c			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 128,573.		351,067.	- 222,494.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(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	
a			
b			
c			
d			
e			- 222,494.

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	- 222,494.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8	3	N/A

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2008	841,444.	18,316,173.	.045940
2007	822,858.	19,613,791.	.041953
2006	821,038.	17,232,938.	.047644
2005	826,845.	16,986,407.	.048677
2004	983,197.	16,191,084.	.060725

2 Total of line 1, column (d)	2	.244939
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	.048988
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	14,051,343.
5 Multiply line 4 by line 3	5	688,347.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	165.
7 Add lines 5 and 6	7	688,512.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	924,992.

**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)		1	165.
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			
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		2	0.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		3	165.
3 Add lines 1 and 2		4	0.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		5	165.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-			
6 Credits/Payments:			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a 8,881.	7	8,881.
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		8	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached		9	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed		10	8,716.
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid		11	0.
11 Enter the amount of line 10 to be: Credited to 2010 estimated tax <input checked="" type="checkbox"/> 8,716. Refunded <input type="checkbox"/>			

**Part VII-A Statements Regarding Activities**

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

N/A

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address **▶ N/A**

14 The books are in care of **▶ ROBERT J. BARLETTA, TREASURER** Telephone no. **▶ (212) 370-1144**  
 Located at **▶ 99 PARK AVENUE, SUITE 2220, NEW YORK, NY** ZIP+4 **▶ 10016**

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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input checked="" type="checkbox"/> Yes <input 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 <b>▶</b> <input type="checkbox"/>	1b	X
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years <b>▶</b> _____, _____, _____, _____		
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.) <b>N/A</b>	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. <b>▶</b> _____, _____, _____, _____		
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.) <b>N/A</b>	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009?	4b	X

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

5a During the year did the foundation pay or incur any amount to:

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

5b

X

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

6b

X

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

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

7b

b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

**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
SEE STATEMENT 10		4,000.	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
THOMAS L. PARKINSON BOX 125, 8240 PEACH LN, FOGELSVILLE, PA 18051	SCHOLARSHIP CONSULTANT	68,968.
ANTAEUS ENTERPRISES, INC. - 99 PARK AVENUE, SUITE 2220, NEW YORK, NY 10016	ADMINISTRATIVE	66,690.

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	0.
b	Average of monthly cash balances	1b	258,735.
c	Fair market value of all other assets	1c	14,006,588.
d	Total (add lines 1a, b, and c)	1d	14,265,323.
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	14,265,323.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	213,980.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	14,051,343.
6	Minimum investment return. Enter 5% of line 5	6	702,567.

**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	702,567.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	165.
b	Income tax for 2009. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	165.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	702,402.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	702,402.
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	702,402.

**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	924,992.
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	924,992.
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	165.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	924,827.

**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.

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**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				702,402.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2009:				
a From 2004	176,265.			
b From 2005	13,064.			
c From 2006	20,338.			
d From 2007				
e From 2008				
f Total of lines 3a through e	209,667.			
4 Qualifying distributions for 2009 from Part XII, line 4: ► \$	924,992.			
a Applied to 2008, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2009 distributable amount				702,402.
e Remaining amount distributed out of corpus	222,590.			
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	432,257.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2008. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2004 not applied on line 5 or line 7	176,265.			
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a	255,992.			
10 Analysis of line 9:				
a Excess from 2005	13,064.			
b Excess from 2006	20,338.			
c Excess from 2007				
d Excess from 2008				
e Excess from 2009	222,590.			



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

Recipient	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
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i> <b>GRANTS (SEE ATTACHED SCHEDULE)</b>				827,120.
<b>Total</b>			▶ <b>3a</b>	827,120.
<b>b</b> <i>Approved for future payment</i> <b>SCHOLARSHIPS (SEE ATTACHED SCHEDULE)</b>				2,528,595.
<b>Total</b>			▶ <b>3b</b>	2,528,595.

**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	451.		
4 Dividends and interest from securities			14	236,168.		
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	-222,494.		
9 Net income or (loss) from special events						
10 Gross profit or (loss) from sales of inventory						
11 Other revenue:						
a <b>UNRELATED BUSINESS</b>						
b <b>TAXABLE LOSS</b>	900000	-3,249.				
c <b>OTHER PARTNERSHIP LOSS</b>			14	-160,005.		
d _____						
e _____						
12 Subtotal. Add columns (b), (d), and (e)		-3,249.		-145,880.		0.
13 Total. Add line 12, columns (b), (d), and (e)						-149,129.

(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**

- |          |                                                                                                                                                                                                                                                                                                                                                                                              | Yes   | No |
|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|----|
| <b>1</b> | 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?                                                                                                                                          |       |    |
| <b>a</b> | Transfers from the reporting foundation to a noncharitable exempt organization of:                                                                                                                                                                                                                                                                                                           |       |    |
|          | (1) Cash                                                                                                                                                                                                                                                                                                                                                                                     | 1a(1) | X  |
|          | (2) Other assets                                                                                                                                                                                                                                                                                                                                                                             | 1a(2) | X  |
| <b>b</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  |
| <b>c</b> | Sharing of facilities, equipment, mailing lists, other assets, or paid employees                                                                                                                                                                                                                                                                                                             | 1c    | X  |
| <b>d</b> | 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. |       |    |

[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 tax practitioner) is based on all information of which preparer has any knowledge.

**Sign Here**

Signature of officer or trustee

2/7/11  
Date

**TREASURER**  
Title

Preparer's signature	
-------------------------	-------------------------------------------------------------------------------------

Date 2/1/11

Check if self-employed ☐

Preparer's identifying number  
000185063

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

ELLIOT HOROWITZ & COMPANY, LLP  
675 THIRD AVENUE  
NEW YORK, NEW YORK 10017

EIN ► 13-3028332

Phone no. 212-972-7500

THE SPERRY FUND

CONTINUATION FOR 990-PF, PART IV  
13-6114308 PAGE 1 OF 1

**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	K-1 - PROSPECT CAPITAL PARTNERS			12/31/09
b	K-1 - PROSPECT CAPITAL PARTNERS	P		12/31/09
c	K-1 - VENTURE INVESTMENT ASSOCIATES	P		12/31/09
d	K-1 - VENTURE INVESTMENT ASSOCIATIES II	P		12/31/09
e	K-1 - VENTURE INVESTMENT ASSOCIATIES II	P		12/31/09
f	K-1 - VENTURE INVESTMENT ASSOCIATES III	P		12/31/09
g	K-1 - VENTURE INVESTMENT ASSOCIATES III	P		12/31/09
h	K-1 - VENTURE INVESTMENT ASSOCIATIES IV			12/31/09
i	K-1 - VENTURE INVESTMENT ASSOCIATIES IV			12/31/09
j	STORAGE NETWORKS	P	03/30/09	03/31/10
k				
l				
m				
n				
o				

(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		348,806.	-348,806.
b	123,002.		123,002.
c	1,509.		1,509.
d	24.		24.
e	1,109.		1,109.
f	20.		20.
g	2,442.		2,442.
h		1,560.	-1,560.
i		701.	-701.
j	467.		467.
k			
l			
m			
n			
o			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
(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	
a			-348,806.
b			123,002.
c			1,509.
d			24.
e			1,109.
f			20.
g			2,442.
h			-1,560.
i			-701.
j			467.
k			
l			
m			
n			
o			

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	-222,494.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }	3	N/A

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

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SOURCE	AMOUNT
INTEREST	451.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	451.

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FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

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SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
PROSPECT CAPITAL PARTNERS	214,473.	0.	214,473.
VENTURE INVESTMENT ASSOCIATES II	78.	0.	78.
VENTURE INVESTMENT ASSOCIATES III	2,178.	0.	2,178.
VENTURE INVESTMENT ASSOCIATES IV	19,374.	0.	19,374.
VENTURE INVESTMENT ASSOCIATES LP	65.	0.	65.
TOTAL TO FM 990-PF, PART I, LN 4	236,168.	0.	236,168.

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FORM 990-PF OTHER INCOME STATEMENT 3

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DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
UNRELATED BUSINESS TAXABLE LOSS	-3,249.	0.	
OTHER PARTNERSHIP LOSS	-160,005.	0.	
TOTAL TO FORM 990-PF, PART I, LINE 11	-163,254.	0.	

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FORM 990-PF	ACCOUNTING FEES			STATEMENT 4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	11,270.	11,270.		0.
TO FORM 990-PF, PG 1, LN 16B	11,270.	11,270.		0.

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
THOMAS L. PARKINSON	68,968.	0.		68,968.
TO FORM 990-PF, PG 1, LN 16C	68,968.	0.		68,968.

FORM 990-PF	TAXES			STATEMENT 6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
STATE TAXES	250.	0.		0.
TO FORM 990-PF, PG 1, LN 18	250.	0.		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
CUSTODY FEES	1,470.	1,470.		0.
PHONE AND COMPUTER EXPENSE	3,100.	0.		3,100.
FILING FEES	750.	0.		750.
OFFICE EXPENSE	364.	0.		364.
SELECTION COMMITTEE FEES	4,500.	0.		4,500.
ADMINISTRATION	3,300.	3,300.		0.
INVESTMENT OPERATIONS	28,100.	28,100.		0.

THE SPERRY FUND			13-6114308
FINANCIAL REPORTING	16,000.	16,000.	0.
MEALS	1,025.	0.	0.
TO FORM 990-PF, PG 1, LN 23	58,609.	48,870.	8,714.

FORM 990-PF	OTHER INCREASES IN NET ASSETS OR FUND BALANCES	STATEMENT	8
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DESCRIPTION	AMOUNT
UNREALIZED APPRECIATION ON PARTNERSHIP ASSETS	1,787,067.
TOTAL TO FORM 990-PF, PART III, LINE 3	1,787,067.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	9
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
PROSPECT CAPITAL PARTNERS	FMV	13,436,957.	13,436,957.
VENTURE INVESTMENT ASSOCIATES II	FMV	29,905.	29,905.
VENTURE INVESTMENT ASSOCIATES III	FMV	378,561.	378,561.
VENTURE INVESTMENT ASSOCIATES IV	FMV	731,960.	731,960.
VENTURE INVESTMENT ASSOCIATES L.P.	FMV	69,849.	69,849.
TOTAL TO FORM 990-PF, PART II, LINE 13		14,647,232.	14,647,232.

FORM 990-PF

PART VIII - LIST OF OFFICERS, DIRECTORS  
TRUSTEES AND FOUNDATION MANAGERS

STATEMENT 10

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
FREDERICK W. BEINECKE 99 PARK AVENUE, SUITE 2200 NEW YORK, NY 10016	PRESIDENT/DIRECTOR 2.00	0.	0.	0.
WILLIAM S. BEINECKE 99 PARK AVENUE, SUITE 2200 NEW YORK, NY 10016	DIRECTOR 2.00	0.	0.	0.
R. SCOTT GREATHEAD 99 PARK AVENUE, SUITE 2200 NEW YORK, NY 10016	SECRETARY/DIRECTOR 2.00	2,000.	0.	0.
MELVYN L. SHAFFIR 99 PARK AVENUE, SUITE 2200 NEW YORK, NY 10016	DIRECTOR 2.00	2,000.	0.	0.
ROBERT J. BARLETTA 99 PARK AVENUE, SUITE 2200 NEW YORK, NY 10016	TREASURER 5.00	0.	0.	0.
JOHN B. BEINECKE 99 PARK AVENUE, SUITE 2200 NEW YORK, NY 10016	VICE-PRESIDENT/DIRECTOR 2.00	0.	0.	0.
FRANCES B. ELSTON 99 PARK AVENUE, SUITE 2200 NEW YORK, NY 10016	DIRECTOR 2.00	0.	0.	0.
SARAH B. RICHARDSON 99 PARK AVENUE, SUITE 2200 NEW YORK, NY 10016	DIRECTOR 2.00	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		4,000.	0.	0.

THE SPERRY FUND  
EIN 13-6114308  
FORM 990-PF  
JUNE 30, 2010

Page 3, Part IV: CAPITAL GAINS & LOSSES

(a) From Passthroughs:

	<u>Gain/(Loss)</u>
Sched K-1: Venture Investment Associates, LP EIN: 22-3248650	1,509
Sched K-1: Venture Investment Associates, II EIN: 22-3284167	24
Sched K-1: Venture Investment Associates, II EIN: 22-3284167	1,109
Sched K-1: Venture Investment Associates, III EIN: 22-3543341	20
Sched K-1: Venture Investment Associates, III EIN: 22-3543341	2,442
Sched K-1: Venture Investment Associates, IV EIN: 22-3679965	(1,560)
Sched K-1: Venture Investment Associates, IV EIN: 22-3679965	(701)
Sched K-1: Prospect Capital Partners EIN: 13-3745680	123,002
Sched K-1: Prospect Capital Partners EIN: 13-3745680	(348,806)
Sale of Storage Networks	467
	<hr/> (222,494)

**The Sperry Fund**  
**Fair Market Value Analysis**  
**July 1, 2009 - June 30, 2010**

Month	Operating Cash	Investment Cash & Equivs.	Total Cash & Equivs.
1-Jul-09	23,954	569,452	593,406
1-Aug-09	983	469,652	470,634
1-Sep-09	14,756	59,323	74,079
1-Oct-09	48,705	6,394	55,099
1-Nov-09	24,249	6,405	30,654
1-Dec-09	3,999	37,531	41,530
1-Jan-10	3,714	322,842	326,556
1-Feb-10	28,026	276,607	304,633
1-Mar-10	28,026	276,620	304,646
1-Apr-10	12,764	321,692	334,456
1-May-10	9,867	306,710	316,576
1-Jun-10	20,806	231,740	252,547
Average	<u>18,321</u>	<u>240,414</u>	<u>258,735</u>
	18,321	240,414	258,735

**THE SPERRY FUND**  
**EIN 13-6114308**  
**INVESTMENT IN PROSPECT CAPITAL PARTNERS - DETAILS**  
**JUNE 30, 2010**

	Quantity	Security	Book/Market Value	
<b>CASH AND EQUIVALENTS</b>				
		BBIF T/E Fund Cl 1	1	
		Northern Institutional Treasury Portfolio	1,038,765	
		Nothem Trust Euro Account	57	
		Receivable - Cornerstone	21,084	
		Schwab US Treasury Money Fund	14	
		Artorius Offshore Investments, Ltd	103,750	1,161,670
<b>TAXABLE BONDS</b>				
	25,570.21	Pimco Total Return Fund Cl D	287,921	287,921
<b>DOMESTIC EQUITIES</b>				
<b>Large Capitalization</b>				
	16,841.09	Jensen Portfolio Fund Cl I	381,956	
	16,778.52	Longleaf Partners Fund	397,651	
	822,500.00	Caxton Alpha Equity LLC	583,583	1,363,190
<b>Small Capitalization</b>				
	65,835.69	Wellington Micro Cap Equity	823,827	823,827
<b>FOREIGN EQUITIES</b>				
<b>Developed Markets</b>				
	10,706.90	First Eagle Overseas Fund Cl I	211,783	
	33,735.54	Highclere Intl	392,917	
	13,142.38	Silchester Intl Investors	783,605	1,388,305
<b>Emerging Markets</b>				
	14,128.77	Oppenheimer Developing Markets Fund Cl A	391,791	
	207,500.00	Indus Select Fund Ltd	188,953	
	207,500.00	Newport Asia Institutional Fund-PCP	201,486	
	4,150.00	Sandstone Capital India Offshore Fund, Ltd	345,083	
	207,500.00	Spinnaker GO Fund Cl I	214,617	1,341,931
<b>ABSOLUTE RETURN</b>				
	128,130.33	AG Long-Term SuperFund	53,213	
	394.62	Cerberus Intl SPV, Ltd	396,525	
	822,500.00	Convexity Capital Offshore L.P.	743,922	
	415,000.00	Davidson Kempner Institutional	511,240	
	728,250.00	Farallon Capital Institutional Ptnrs	892,687	
	389.06	Friedberg Milstein Clo Pfd Shares 144A	3,891	
	18,513.30	Madoff Securities-Prosp Capl Ptnrs	-	
	20.75	Silver Point Capital Offshore Fund, Ltd	229,096	
	1,198.11	Vega - Liquidating Assets	-	2,830,573
<b>HEDGED EQUITY</b>				
	207,500.00	Merchants Gate Offshore Fund Ltd	209,527	
	207,500.00	Palo Alto Healthcare Offshore II, Ltd	212,481	
	415.00	Sansar Capital, Ltd.	289,877	
	1,008.12	Swiftcurrent Offshore, Ltd Cl A1 Ser 1	239,383	
	8.84	Swiftcurrent Offshore, Ltd Cl A1 Ser 7	708	
	1,771.95	Swiftcurrent Offshore, Ltd Cl A2 Ser 1	201,357	
	5.84	Swiftcurrent Offshore, Ltd Cl A2 Ser 15	604	
	24.10	Swiftcurrent Offshore, Ltd Cl D Ser 1	2,304	
	125.64	Swiftcurrent Offshore, Ltd Cl E Ser 1	11,492	
	415,000.00	WMIB - Spindrift Class A	368,800	1,538,534
<b>HARD ASSETS</b>				
<b>Real Estate Investments</b>				
	207,489.79	Cerberus Asia Partners, L.P.	38,437	
	262,531.28	Cronus Real Estate Fund, L.P.(12/09)	180,181	
	830.00	LBA Realty Fund Inc(03/10)	173,180	
	1.04	Prana Associates Twenty One(12/09)	43,918	
	1.04	Prana Associates Twenty Two(12/09)	100,905	
	311,250.00	Rossrock 2005 Fund LLC(12/09)	14,252	
	312,657.27	Rossrock Fund II LP(12/09)	225,446	776,329

**VENTURE CAPITAL INVESTMENTS****Partnerships-VC**

199,178.42	Amberbrook IV LLC(12/09)	125,741	
83,423.09	Amberbrook V LLC(12/09)	125,176	
117,496.88	DFJ Dragon Fund China L.P.(03/10)	118,148	
200,101.95	Encap Energy Capital Fund VII(12/09)	177,299	
162,731.93	Next Wave Fund I LP(12/08)	137,620	
381,439.78	Venture Investment Associates V(03/10)	400,708	
160,107.21	Venture Investment Associates VI(03/10)	178,174	1,261,868

**PRIVATE EQUITY INVESTMENTS****Partnerships-PE**

122,051.04	Clearview Partners Fund II	90,544	
706,775.33	Fortress Credit Oppor Fund(B)LP (03/10)	255,168	
171,976.82	Founders Equity SBIC I, LP(12/09)	75,447	
294,520.31	MissionPoint Capital Ptnrs Fund(12/09)	127,158	
2,841.51	MissionPoint GGH Parallel Fund(12/09)	863	
30,221.98	MissionPoint HA Parallel Fund(12/09)	60,851	
47,507.75	MissionPoint SE Parallel Fund(12/09)	32,479	
22,289.82	Voltax Investment LLC	22,300	684,809

**TOTAL INVESTMENTS IN PROSPECT CAPITAL PARTNERS****(INCLUDED IN INVESTMENTS REPORTED ON FORM 990PF, PART II, LINE 13)****13,436,957**

# **The Sperry Fund - FY 6/30/10**

980100

Beinecke Scholarship Program

Date	Reference	Jral	Trans Description	Amount
7/1/09			Beginning Balance	
9/1/09	9/1	CRJ	Add Back Duplicate Ck. #1733 - to Stanford	(10,000.00)
8/12/09	1754	CDJ	Anzona State University - Beinecke Scholars	6,000.00
8/11/09	1730	CDJ	Anzona State University - Beinecke Scholars	7,500.00
7/1/09	1689	CDJ	Ashley Smith - Beinecke Scholarship Program	
09	Transfer3	CDJ	Balliol College	4,000.00
10/20/09	Transfer	CDJ	Balliol College	4,000.00
8/12/09	1744	CDJ	Brown University - Beinecke Scholarship Har	6,000.00
8/11/09	1720	CDJ	Brown University - Beinecke Scholarship Pau	6,000.00
8/11/09	1702	CDJ	California State University - Beinecke Schola	15,000.00
7/1/09	1679	CDJ	Cary Gitter - Beinecke Scholarship Program	4,000.00
8/17/09	Transfer1	CDJ	Clare College Tutor's Acct.	6,000.00
8/11/09	1711	CDJ	Columbia University - Beinecke Scholarship A	7,500.00
8/12/09	1738	CDJ	Columbia University - Beinecke Scholarship	
09	1693	CDJ	Columbia University - Daniel Callahan SSN O	4,000.00
8/12/09	1753	CDJ	Cornell University - Beinecke Scholarship As	7,500.00
8/11/09	1726	CDJ	Cornell University - Beinecke Scholarship Jas	6,000.00
7/1/09	1682	CDJ	Dhananjay Jagannathan - Beinecke Scholarshi	4,000.00
7/1/09	1690	CDJ	Dmitry Taubinsky - Beinecke Scholarship Pro	4,000.00
8/10/09	1704	CDJ	Duke University - Beinecke Scholarship Robe	7,500.00
8/11/09	1700	CDJ	Duke University - Beinecke Scholarship Sarah	6,000.00
3/19/10	1780	CDJ	Elizabeth Ogonek - Beinecke Scholarship	4,000.00
7/1/09	1685	CDJ	Emily Neumeier - Beinecke Scholarship Progra	4,000.00
8/11/09	1705	CDJ	Georgetown University - Beinecke Scholarship	15,000.00
7/1/09	1678	CDJ	Greg Ganderberger - Beinecke Scholarship Pr	4,000.00
7/1/09	1671	CDJ	Hananie Albert - Beinecke Scholarship progr	4,000.00
8/11/09	1717	CDJ	Harvard University - Beinecke Scholarship En	5,500.00
8/12/09	1742	CDJ	Harvard University - Beinecke Scholarship Jee	7,000.00
8/11/09	1719	CDJ	Harvard University - Beinecke Scholarship Jo	4,000.00
8/12/09	1741	CDJ	Harvard University - Beinecke Scholarship Ra	15,000.00
7/1/09	1680	CDJ	Heidi Hausse - Beinecke Scholarship Program	4,000.00
7/1/09	1686	CDJ	Jason Oaks - Beinecke Scholarship Program	4,000.00
7/1/09	1681	CDJ	Jeffrey Hunger - Beinecke Scholarship Progra	4,000.00
8/12/09	1743	CDJ	Johns Hopkins University - Beinecke Scholars	6,000.00
8/11/09	1721	CDJ	Johns Hopkins University - Beinecke Scholars	6,000.00
7/1/09	1672	CDJ	Katie Cobb - Beinecke Scholarship Program	4,000.00
6/23/10	Transfer	CDJ	King's College - Beinecke Scholarship grant fo	5,000.00
9/15/09	Transfer	CDJ	King's College Third Account	6,000.00
7/1/09	1684	CDJ	Kojo Minta - Beinecke Scholarship Program	4,000.00
8/11/09	1699	CDJ	MA Institute of Technology - Beinecke Schola	5,000.00
7/1/09	1687	CDJ	Michael Ondrick - Beinecke Scholarship Proga	4,000.00
7/1/09	1674	CDJ	Molly Cunningham - Beinecke Scholarship Pro	4,000.00
7/1/09	1675	CDJ	Nathan Del Prete - Beinecke Scholarship Proga	
09	1713	CDJ	New York University - Beinecke Scholarship C	15,000.00
8/11/09	1712	CDJ	New York University - Beinecke Scholarship	6,000.00
8/11/09	1729	CDJ	Northwestern University - Beinecke Scholarsh	15,000.00
7/1/09	1683	CDJ	Patrick Kelley - Beinecke Scholarship Program	4,000.00
7/1/09	1676	CDJ	Paula Dias - Beinecke Scholarship Program	4,000.00
8/12/09	1737	CDJ	Princeton University - Beinecke Scholarship A	6,000.00
8/11/09	1710	CDJ	Princeton University - Beinecke Scholarship B	6,000.00
8/11/09	1708	CDJ	Princeton University - Beinecke Scholarship H	7,500.00
8/11/09	1707	CDJ	Princeton University - Beinecke Scholarship Jo	7,500.00
8/11/09	1709	CDJ	Princeton University - Beinecke Scholarship Je	6,000.00
8/27/09	1760	CDJ	Queens College - Beinecke Scholarship Patrick	15,000.00
8/11/09	1696	CDJ	Regents, Univ of California - Beinecke Schola	5,000.00
8/12/09	1736	CDJ	Regents, Univ of California - Beinecke Schola	6,000.00
8/10/09	1698	CDJ	Regents, Univ of California - Beinecke Schola	7,500.00
8/12/09	1735	CDJ	Regents, Univ of California - Beinecke Schola	4,000.00
8/11/09	1703	CDJ	Regents, Univ of California - Beinecke Schola	
09	1716	CDJ	Regents, University of Califor - Beinecke Sch	7,500.00



8/17/09	8/17	CRJ	Returned Wire - Balliol Colle	(4,060.00)
7/1/09	1677	CDJ	Robert Dudley - Beinecke Scholarship Program	4,000.00
7/1/09	1673	CDJ	Rodolfo Cortes - Beinecke Scholarship Program	4,000.00
7/1/09	1688	CDJ	Sarah Robinson - Beinecke Scholarship Program	4,000.00
8/17/09	Transfer2	CDJ	St. Hilda's College	6,000.00
8/12/09	1733	CDJ	Stanford Law School - Beinecke Scholarship Emily Curran	10,000.00
8/12/09	1733	CDJ	Stanford Law School - Beinecke Scholarship Emily Curran	10,000.00
8/12/09	1749	CDJ	Stanford University - Beinecke Scholarship Andrew Schupantz	5,000.00
8/12/09	1747	CDJ	Stanford University - Beinecke Scholarship Elda Maria Roman	6,000.00
8/27/09	1761	CDJ	Stanford University - Beinecke Scholarship Katherine I	8,000.00
8/12/09	1748	CDJ	Stanford University - Beinecke Scholarship Krishna Sav	6,000.00
8/11/09	1725	CDJ	Stanford University - Beinecke Scholarship Matthew L	8,000.00
8/12/09	1746	CDJ	Stanford University - Beinecke Scholarship Rodolfo Co	6,000.00
8/12/09	1732	CDJ	Stony Brook University - Beinecke Scholarship Ashley	
8/12/09	1792	CDJ	Stony Brook University - Beinecke Scholarship-Ashley	3,000.00
8/11/09	1694	CDJ	University of Alabama - Beinecke Scholarship Michael	10,000.00
8/12/09	1752	CDJ	University of Chicago - Beinecke Scholarship Lauren C	6,000.00
8/12/09	1750	CDJ	University of Chicago - Beinecke Scholarship Molly Cu	15,000.00
8/12/09	1751	CDJ	University of Chicago - Beinecke Scholarship Victoria I	
8/12/09	1728	CDJ	University of Kansas - Beinecke Scholarship Angela N	6,000.00
8/12/09	1755	CDJ	University of Maryland - Beinecke Scholarship John De	15,000.00
8/12/09	1745	CDJ	University of Michigan - Beinecke Scholarship Adena R	7,500.00
8/11/09	1722	CDJ	University of Michigan - Beinecke Scholarship Holly R	6,000.00
8/17/09	1757	CDJ	University of Pennsylvania - Beinecke Scholarship Dav	7,500.00
8/11/09	1731	CDJ	University of Pennsylvania - Beinecke Scholarship Lau	7,500.00
8/11/09	1724	CDJ	University of Pennsylvania - Beinecke Scholarship M. E	7,500.00
8/11/09	1706	CDJ	University of Pittsburgh - Beinecke Scholarship Gregor	15,000.00
8/11/09	1697	CDJ	University of Pittsburgh - Beinecke Scholarship Samuel	6,000.00
5/28/10	1793	CDJ	University of Pittsburgh - Beinecke Scholarship-Samuel	3,000.00
8/12/09	1734	CDJ	University of Toronto - Beinecke Scholarship Nathaniel	6,000.00
8/11/09	1727	CDJ	University of Virginia - Beinecke Scholarship Timothy	2,500.00
8/12/09	1756	CDJ	University of Wisconsin - Beinecke Scholarship Rebeca	8,000.00
8/11/09	1714	CDJ	Yale University - Beinecke Scholarship Madison Moore	
8/12/09	1794	CDJ	Yale University - Beinecke Scholarship Madison Moore	3,065.00
8/12/09	1739	CDJ	Yale University - Beinecke Scholarship Samuel Cross	2,365.00
8/12/09	1740	CDJ	Yale University - Beinecke Scholarship Sarah Stone	1,750.00
8/11/09	1715	CDJ	Yale University - Beinecke Scholarship Sylvia Houghte	4,500.00
4/26/10	1787	CDJ	Zaid Adhami - Beinecke Scholarship-fall payment	4,000.00
7/8/09	1691	CDJ	Columbia University - Grant#954076-Human Rights Advocates Program	25,000.00
11/24/09	1766	CDJ	Association of the Bar of the - grant to support the December 2009 China delegation	20,000.00
1/19/10	1775	CDJ	SPW USA, Inc. - Grant#954062-Capital Growth Campaign	100,000.00
5/5/10	1789	CDJ	Wildlife Conservation Society - FY2010 grant-Int'l Conservation Training and Capacity Build	20,000.00
5/5/10	1790	CDJ	Citytrack Inc. - grant#954815 payment 1 of 3	10,000.00
5/17/10	1791	CDJ	Keewaydin Foundation - grant#954817 payment 1 of 5	25,000.00
8/11/09	#1695		Univ of Massachusetts Amherst - Beinecke Scholarship Simon Nampindo	18,000.00
8/11/09	#1701		University of Florida - Beinecke Scholarship Program Germain Mavah	18,000.00

827,120.00

**THE BEINECKE SCHOLARSHIP PROGRAM**  
**FINANCIAL OBLIGATIONS AS OF JUNE 30, 2010**

	SCHOOL	TOTAL FUNDS RECEIVED	REMAINING FUNDS AVAILABLE	STATUS
<b>COLLEGE SENIORS (20)</b>				
Asad Asad	WISCONSIN	\$0	\$34,000	SENIOR
Maria Devlin	NORTH CAROLINA	\$0	\$34,000	SENIOR
Christopher Fiorello	POMONA	\$0	\$34,000	SENIOR
James Gerinchen	DUKE	\$0	\$34,000	SENIOR
Grace Harpster	TULANE	\$0	\$34,000	SENIOR
Katherine Hood	BERKELEY	\$0	\$34,000	SENIOR
Erica Kowsz	HAMILTON	\$0	\$34,000	SENIOR
Kevin Madore	MIDDLEBURY	\$0	\$34,000	SENIOR
Paige Patchin	MINNESOTA	\$0	\$34,000	SENIOR
Mackenzie Pierce	SWARTHMORE	\$0	\$34,000	SENIOR
Andrew Pope	ROCHESTER	\$0	\$34,000	SENIOR
Leslie Ribovich	BARNARD	\$0	\$34,000	SENIOR
Jessica Rizzo	BRYN MAWR	\$0	\$34,000	SENIOR
Seth Robinson	WHEATON	\$0	\$34,000	SENIOR
Charles Rousseau	WILLIAMS	\$0	\$34,000	SENIOR
Amanda Rysling	NYU	\$0	\$34,000	SENIOR
Kyera Singleton	MACALASTER	\$0	\$34,000	SENIOR
Hanna Suckstorff	NORTHWESTERN	\$0	\$34,000	SENIOR
Valaria Tsygankova	PENN	\$0	\$34,000	SENIOR
Anise Vance	DARTMOUTH	\$0	\$34,000	SENIOR
<b>STUDENTS ON LEAVE (12)</b>				
Michael Esquivel		\$0	\$34,000	LEAVE
Nicole Gervasio		\$0	\$34,000	LEAVE
Jodi Guinn		\$0	\$34,000	LEAVE
Hudson McFann	FULBRIGHT FELLOWSHIP	\$0	\$34,000	LEAVE
Joshua McIntire		\$0	\$34,000	LEAVE
Michael Ondrick	ALABAMA LAW SCHOOL	\$14,000	\$20,000	LEAVE
Janae Peters		\$0	\$34,000	LEAVE
Gabrielle Ramalah	REYNOLDS FELLOWSHIP	\$0	\$34,000	LEAVE
Benjamin Sacks		\$0	\$34,000	LEAVE
Claire Saperstein	FULBRIGHT FELLOWSHIP	\$0	\$34,000	LEAVE
Rachel Shalev		\$16,200	\$15,800	LEAVE
Harris Sockel		\$0	\$34,000	LEAVE
<b>STUDENTS IN GRADUATE SCHOOL (71)</b>				
Zaid Adhami	DUKE	\$4,000	\$30,000	GRAD
Hananie Albert	BROWN	\$10,000	\$24,000	GRAD
Eric Andersen	HARVARD	\$4,000	\$30,000	GRAD

Yesenia Barragan	COLUMBIA	\$11,500	\$22,500	GRAD
Victoria Baranov	CHICAGO	\$6,000	\$26,000	GRAD
Rudi Batzell	CAMBRIDGE (UK)	\$10,000	\$24,000	GRAD
Lauren Caldwell	CHICAGO	\$14,000	\$18,000	GRAD
Luke Caldwell	DUKE	\$4,000	\$30,000	GRAD
Julie Camarda	RUTGERS	\$4,000	\$30,000	GRAD
Dustin Chacon	MARYLAND	\$4,000	\$30,000	GRAD
Adam Crager	PRINCETON	\$20,000	\$12,000	GRAD
Molly Cunningham	CHICAGO	\$19,000	\$15,000	GRAD
Emily Curran	STANFORD	\$23,000	\$9,000	GRAD
Nathaniel Del Prete	TORONTO	\$10,000	\$24,000	GRAD
Paula Dias	BROWN	\$10,000	\$24,000	GRAD
Mya Dosch	CUNY	\$4,000	\$30,000	GRAD
Almee Carbaugh	EDINBURGH (UK)	\$4,000	\$30,000	GRAD
Zachary Foster	GEORGETOWN	\$17,000	\$15,000	GRAD
Gregory Gandenberger	PITTSBURGH	\$19,000	\$15,000	GRAD
Rebecca Genauer	WISCONSIN	\$23,000	\$11,000	GRAD
Cary Gitter	NYU	\$19,000	\$15,000	GRAD
Ashley Gosselin-Ildart	SUNY-Stony Brook	\$26,000	\$6,000	GRAD
Devin Goure	YALE	\$4,000	\$30,000	GRAD
Joanna Grossman (Friedman)	HARVARD	\$18,000	\$14,000	GRAD
Sarah Hampton	ARIZONA STATE UNIVERSITY	\$17,000	\$15,000	GRAD
Heidi Hausse	PRINCETON	\$4,000	\$30,000	GRAD
Felipe Alberto Herrera	NORTHWESTERN	\$30,000	\$2,000	GRAD
Vanessa Holguin	BERKELEY	\$22,000	\$10,000	GRAD
Anne Holt	COLUMBIA	\$24,500	\$7,500	GRAD
Sylvia Houghteling	YALE	\$27,500	\$4,500	GRAD
James Hrdlicka	VIRGINIA	\$4,000	\$30,000	GRAD
Jeffrey Hunger	CAL STATE FULLERTON	\$19,000	\$15,000	GRAD
Dhananjay Jagannathan	OXFORD (UK)	\$8,000	\$26,000	GRAD
Benjamin Jones	YALE	\$24,750	\$7,250	GRAD
Patrick Kelley	QUEENS COLLEGE	\$19,000	\$15,000	GRAD
Patrick Kennedy	JOHNS HOPKINS	\$16,000	\$18,000	GRAD
Veronica Koven-Matasy	OXFORD (UK)	\$4,000	\$30,000	GRAD
Matthew Loar	STANFORD	\$16,000	\$16,000	GRAD
Benjamin Lockwood	HARVARD	\$4,000	\$30,000	GRAD
Calista McRae	HARVARD	\$4,000	\$30,000	GRAD
Rebecca Millsop	MIT	\$4,000	\$30,000	GRAD
Kojo Minta	OXFORD (UK)	\$10,000	\$24,000	GRAD
Madison Moore	YALE	\$28,935	\$3,065	GRAD
Delvin Murphy	NYU	\$20,000	\$12,000	GRAD
Emily Neumeier	PENN	\$11,500	\$22,500	GRAD
Angela Nierman	KANSAS	\$26,000	\$6,000	GRAD
Amber North	CAMBRIDGE (UK)	\$17,000	\$17,000	GRAD
Jason Oaks	CORNELL	\$10,000	\$24,000	GRAD
Nathana O'Brien	NYU	\$4,000	\$30,000	GRAD
Elizabeth Ogonek	USC	\$4,000	\$30,000	GRAD
Gillian Osborne	BERKELEY	\$17,000	\$15,000	GRAD
Helen Pfeifer	PRINCETON	\$15,260	\$16,740	GRAD
Hillary Pietricola	UCLA	\$18,260	\$13,740	GRAD
Samuel Pittman	PITTSBURGH	\$22,000	\$12,000	GRAD
Rachel Preminger	BERKELEY	\$27,000	\$5,000	GRAD
Holly Rabb (Lutwiltze)	MICHIGAN	\$18,000	\$18,000	GRAD
Joseph Ricci	PRINCETON	\$16,000	\$18,000	GRAD
Susanna Rinard	MIT	\$27,000	\$5,000	GRAD

Sarah Robinson	DUKE	\$10,000	\$24,000	GRAD
Andrew Schupanitz	STANFORD	\$17,000	\$15,000	GRAD
Abigail Scott	UNIVERSITY OF BRITISH COLUMBIA	\$10,000	\$24,000	GRAD
Ashley Smith	CORNELL	\$11,500	\$22,500	GRAD
Sarah-Neel Smith	UCLA	\$37,000	(\$5,000)	GRAD
Laura Sockol	PENN	\$24,500	\$7,500	GRAD
Michael Stahl	NOTRE DAME	\$4,000	\$30,000	GRAD
Serena Stein	OXFORD (UK)	\$4,000	\$30,000	GRAD
David Suzenski	DUKE	\$4,000	\$30,000	GRAD
John Sylak	BERKELEY	\$16,000	\$18,000	GRAD
Dmitry Taubinsky	HARVARD	\$4,000	\$30,000	GRAD
Charles Tyler	YALE	\$2,000	\$30,000	GRAD
David Ungvary	OXFORD (UK)	\$4,000	\$30,000	GRAD
Andrew Werner	CHICAGO	\$4,000	\$30,000	GRAD

#### AFRICAN SCHOLARS (2)

Inaoyom Imong	LIEPZIG		\$36,000	AFRICAN
Germain Mavah	FLORIDA	\$18,000	\$18,000	AFRICAN

### THE BEINECKE SCHOLARSHIP PROGRAM

#### FINANCIAL OBLIGATIONS AS OF JUNE 30, 2010

6/30/2010

BEINECKE SCHOLARSHIP PROGRAM	\$2,474,595
BEINECKE AFRICAN SCHOLARS PROGRAM	\$54,000
TOTAL OBLIGATIONS OUTSTANDING	\$2,528,595

## 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 ☒ **X**
  - 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](http://www.irs.gov/efile) and click on **e-file for Charities & Nonprofits**.

<b>Type or print</b>	Name of Exempt Organization <b>THE SPERRY FUND</b>	Employer identification number <b>13-6114308</b>
File by the due date for filing your return. See instructions.	Number, street, and room or suite no. If a P.O. box, see instructions. <b>99 PARK AVENUE, NO. 2220</b>	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. <b>NEW YORK, NY 10016</b>	

**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 |

**ROBERT J. BARLETTA, TREASURER**

- The books are in the care of ► **99 PARK AVENUE, SUITE 2220 - NEW YORK, NY 10016**  
Telephone No. ► **(212) 370-1144** FAX No. ►

- 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 **FEBRUARY 15, 2011**, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
- ☐ calendar year \_\_\_\_\_ or
- ☒ tax year beginning **JUL 1, 2009**, and ending **JUN 30, 2010**.

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

<b>3a</b> 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.	<b>3a</b>	\$ <b>158.</b>
<b>b</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.	<b>3b</b>	\$ <b>8,881.</b>
<b>c</b> <b>Balance Due.</b> 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.	<b>3c</b>	\$ <b>0.</b>

**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)